

Columbia University in the City of New York



2012 Einstein Scholar Lecture for Chinese Academy of
Sciences

Peking University, May 21

CAS National Center for Nanoscience and Technology, Beijing, May 17

CAS Suzhou Institute for Nanotechnology & Nano-bionics, May 11

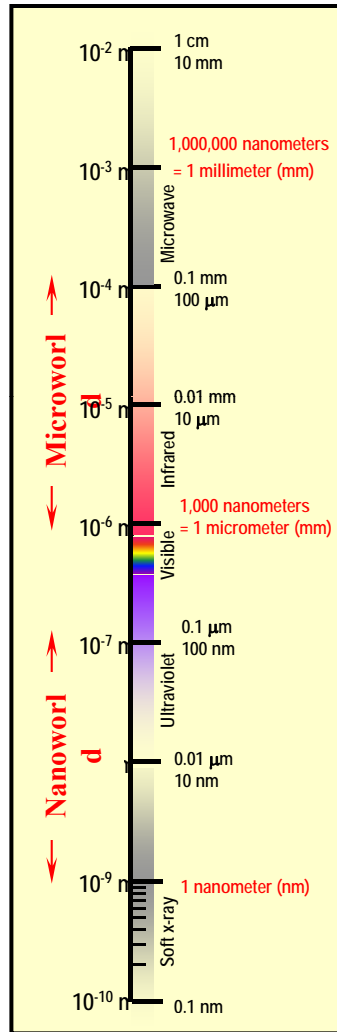
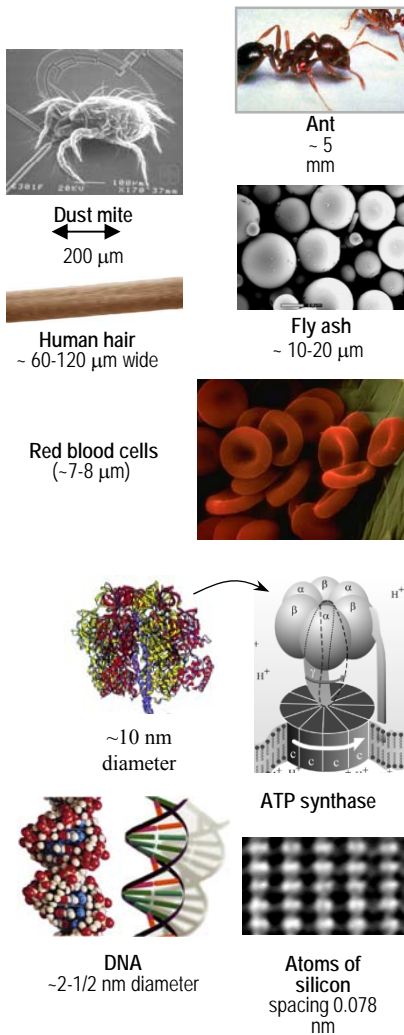


New Columbia Interdisciplinary Science Building 2011

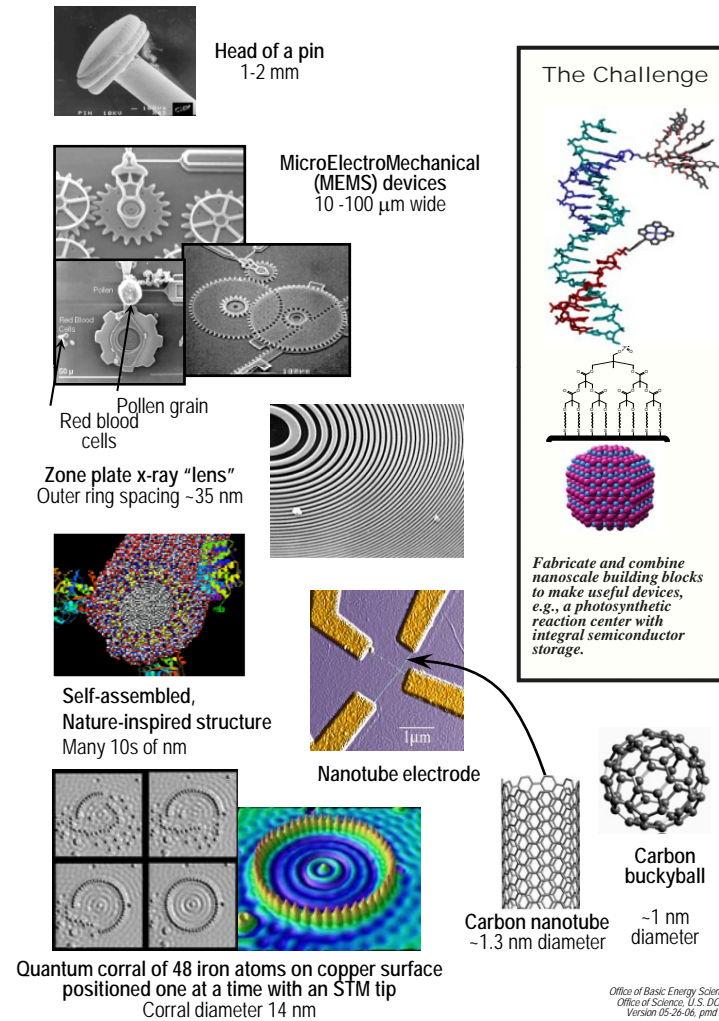
- This tutorial lecture describes unifying and basic principles of nanoscience, and also presents our most recent research on graphene highly doped by interfacial charge transfer.

The Scale of Things – Nanometers and More

Things Natural



Things Manmade

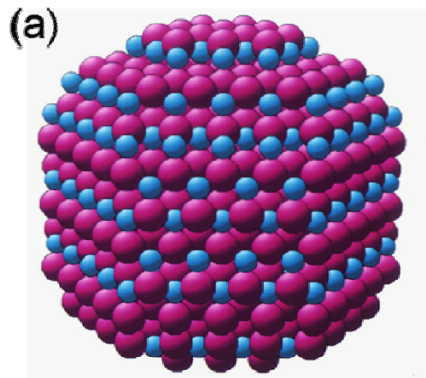


Office of Basic Energy Sciences
Office of Science, U.S. DOE
Version 05-26-06, pmd

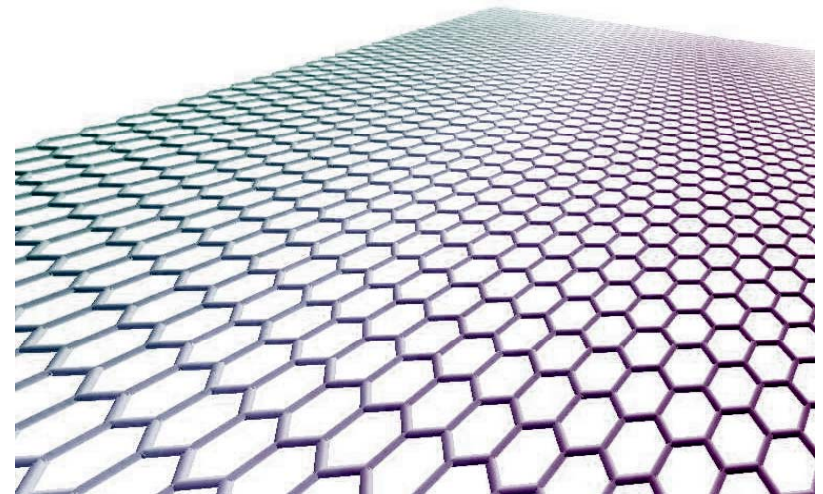
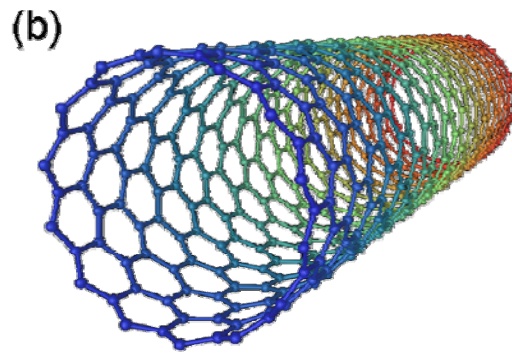
carbon nanotubes
semiconductor nanocrystals

Nanoscience: Graphene, Carbon Nanotubes and Semiconductor Nanocrystals

Louis Brus
Columbia University
New York, NY



CdSe
Nanocrystal



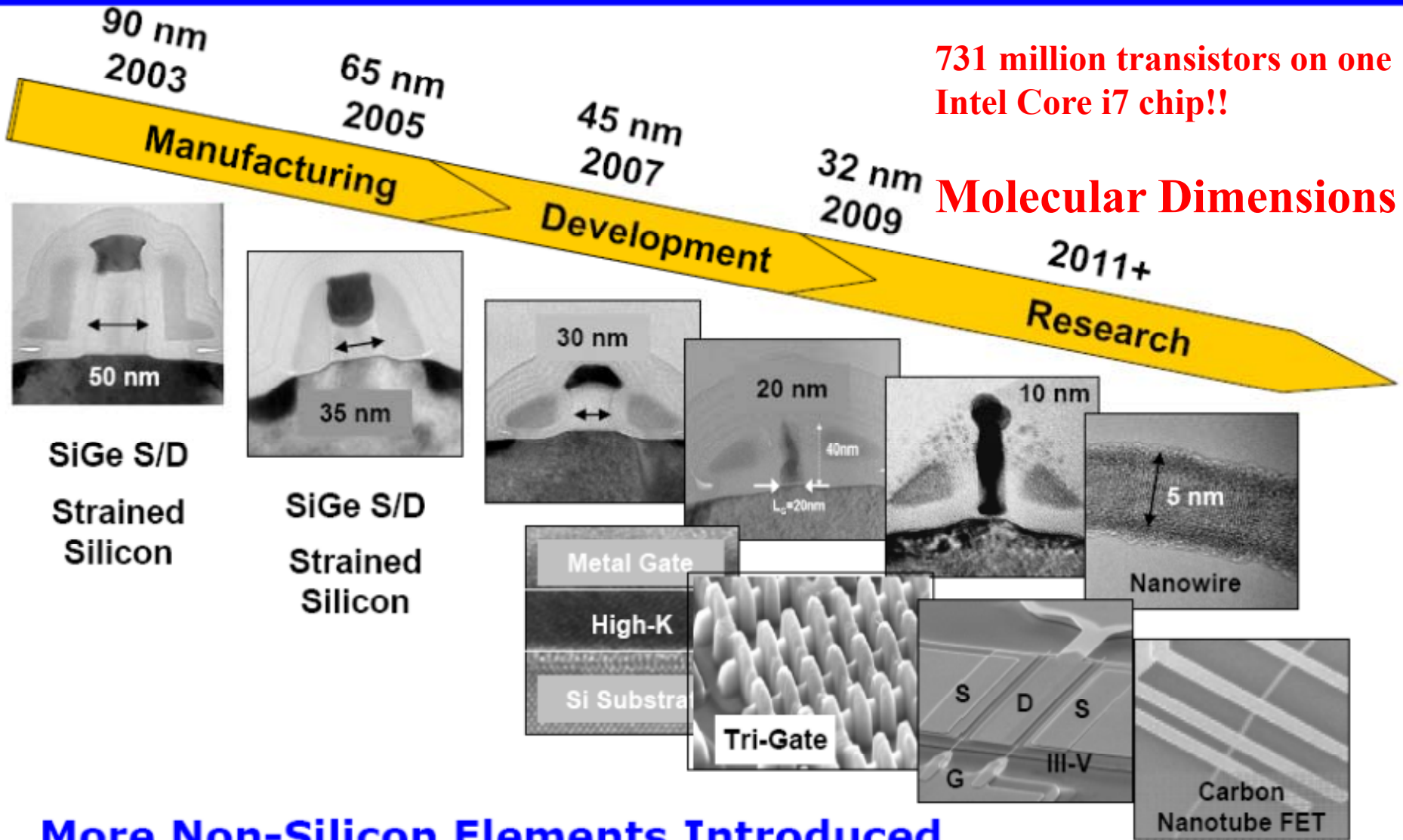
Graphene Electron Correlation and Charge Transfer

1. Single electron electronic structure, optical Properties and Electron Correlation in Graphene: comparison with Nanocrystals and SWNT.
2. Charge Transfer Doping and Fermi Level Shift by Adsorbed and Intercalated Species. Asymmetric doping on one side only. Extreme Electron Doping by Alkali atoms.

Transistor Nanotechnology

731 million transistors on one Intel Core i7 chip!!

Molecular Dimensions



More Non-Silicon Elements Introduced

Intel Corp.

Future options subject to change

Nanoscience: The evolution from molecules to bulk crystals

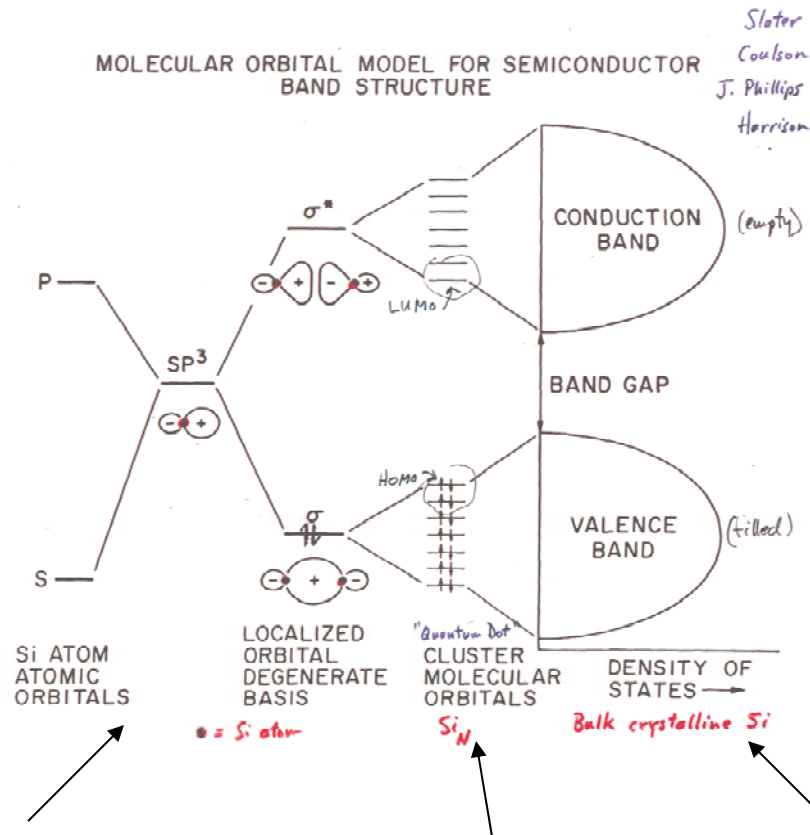
Intellectual challenge: how to quantitatively describe electronic properties as a function of size? Physics concepts? Chemistry concepts?

Synthetic challenge: can we actually make well defined nanocrystals and nanotubes ? Can we vary the surface chemistry?

Characterization challenge: can we measure physical properties one nanocrystal or nanotube at a time?

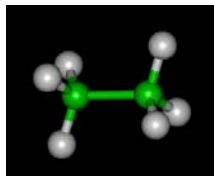
Technology Challenge: Nanocrystals and Nanotubes are new families of large molecules. Can we use them in technology?

Electrons: Evolution from Molecular Orbitals to Continuous Bands

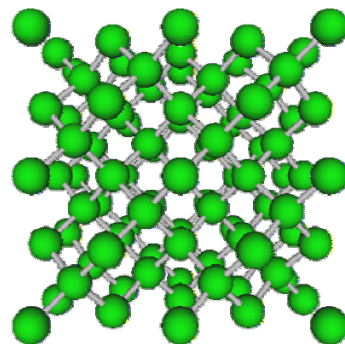


Local chemical bonding around each Si atom is the same in the molecule and crystal – tetrahedral covalent sp^3 hybridization

Nanometer crystallite should have larger band gap than bulk crystal



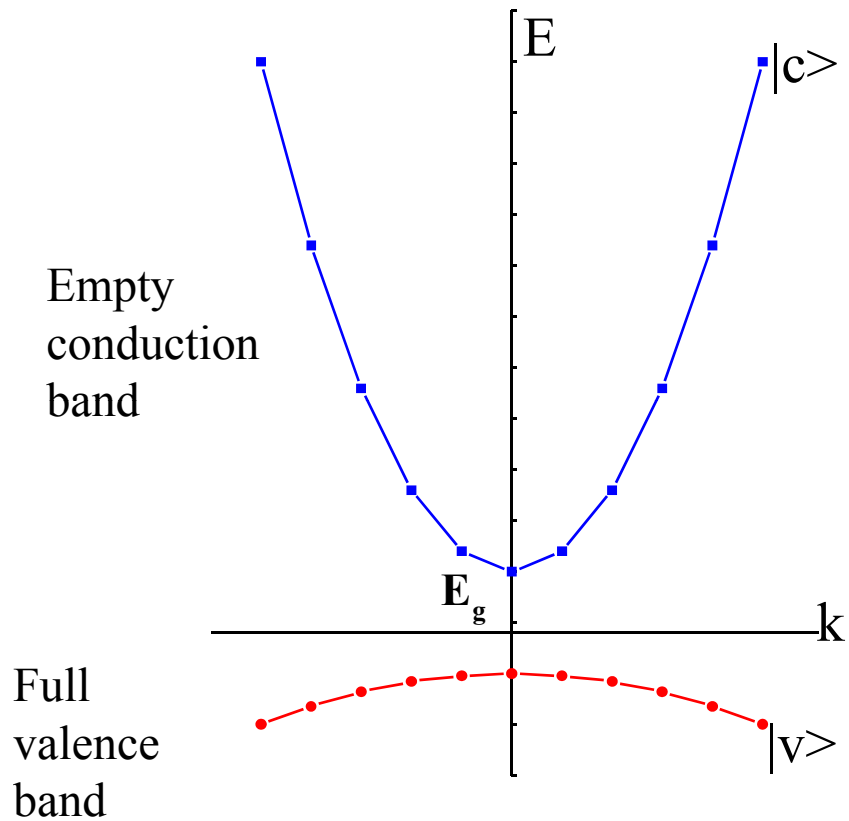
Disilane molecule



Silicon Nanocrystal

Bulk Crystalline Silicon

Quantum Size Effect – “Particle in a box”



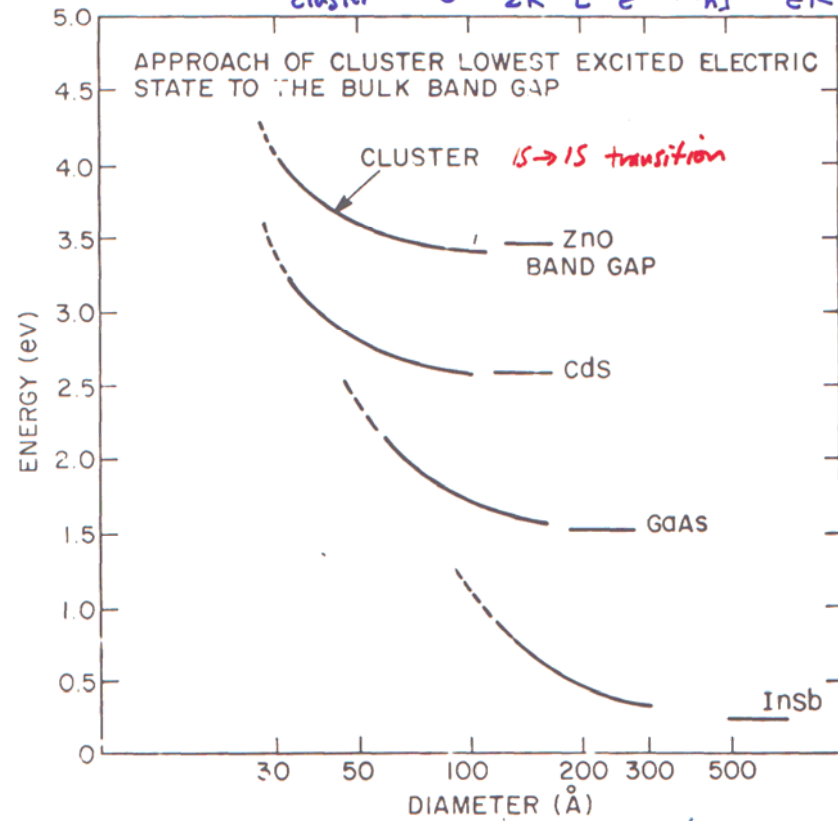
De Broglie Electron Momentum
 $mv = \hbar k = h/\lambda$

electron wavelength λ quantized in particle

Electron Correlation – Coulomb attraction between e^- and h^+

$$\Psi \approx \phi_{1s}(r_e) \phi_{1s}(r_h) \quad \text{zero order}$$

$$E_{\text{cluster}}^* = E_g + \frac{\hbar^2 \pi^2}{2R^2} \left[\frac{1}{m_e} + \frac{1}{m_h} \right] - \frac{1.8e^2}{\epsilon R} +$$



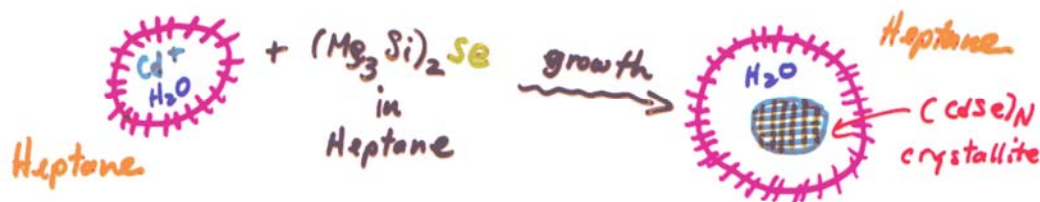
No adjustable parameters!

Synthesis 1986 Steigerwald et al, JACS 110, 3046 (1988)

Organometallic synthesis, controlled growth, Surface "capping"
and isolation of stabilized clusters

A] Take advantage of hydrocarbon phase - hydrophobic reagents

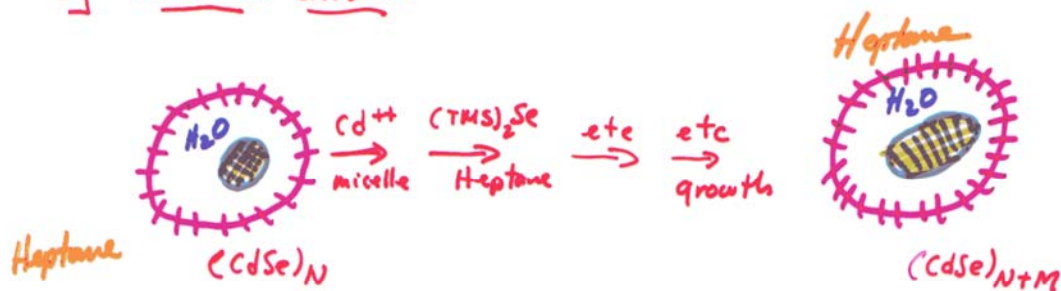
* Mike Steigerwald
Paul Alivisatos
Lou Brus



small 18 \AA $N \approx 70$
large 50 \AA $N \approx 630$
standard deviation 20%

dry \rightarrow redissolve \rightarrow heptane colloid

B] Controlled Growth



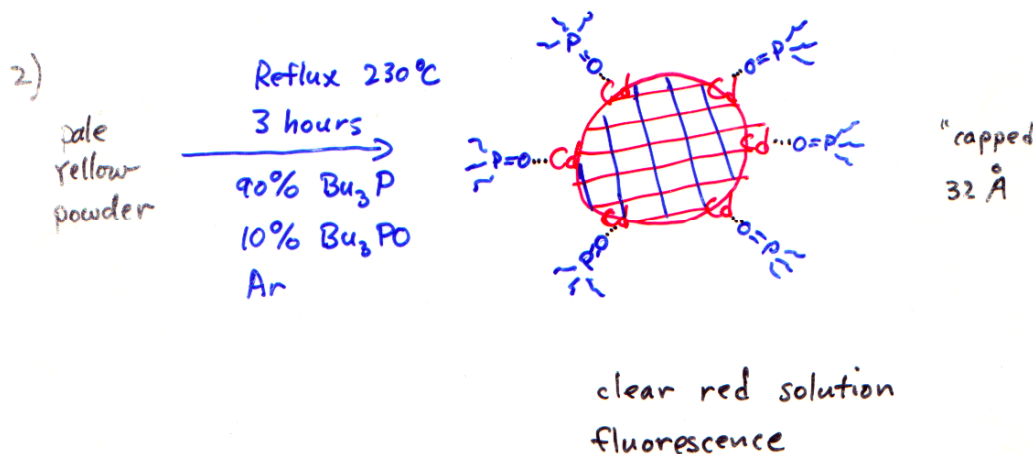
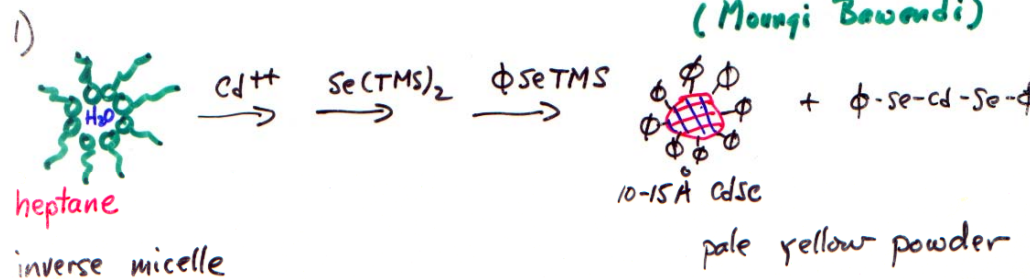
Crystallite in micelle, with water present,
is stable yet can grow further

\Rightarrow exotic chemistry on surface

\Rightarrow concentric growth of one material on another

Synthesis 1988 Bawendi et al J. Chem. Phys. 91, 7282 (1989)

Two Step Organometallic Synthesis of CdSe Single Crystallites
 (Mike Steigerwald)
 (Moungi Bawendi)



Characterization

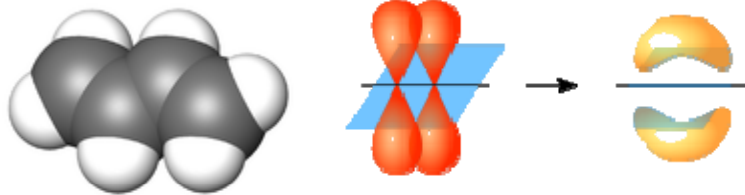
TEM	Pat Carroll
Powder X-ray	Refik Kortan
^{77}Se NMR	Peter Reynders
Se, Cd EXAFS	Matt Marcus

Carbon Nanoscience

Graphene and Single Wall Carbon Nanotubes

Hückel molecular orbitals for P electrons

Butadiene



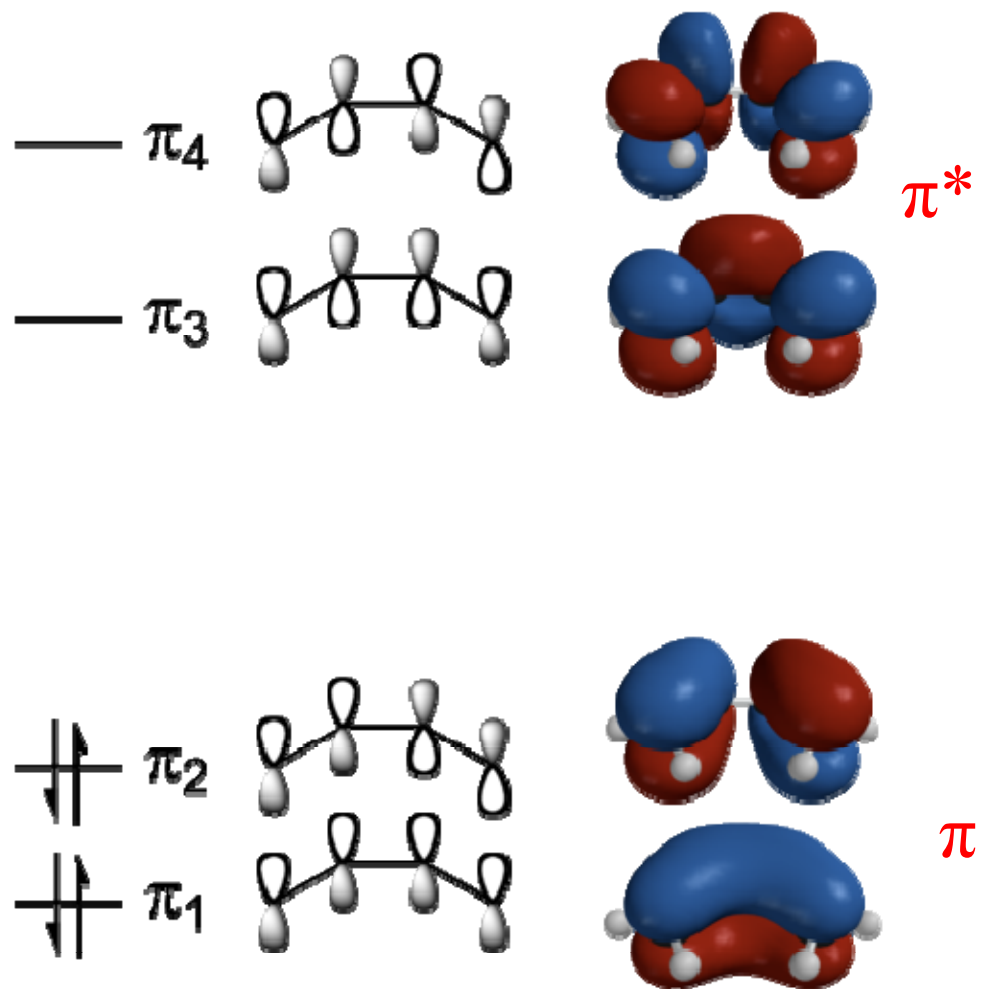
$$\Psi = c_1\phi_1 + c_2\phi_2 + c_3\phi_3 + c_4\phi_4$$

$$\begin{bmatrix} \alpha - E & \beta & 0 & 0 \\ \beta & \alpha - E & \beta & 0 \\ 0 & \beta & \alpha - E & \beta \\ 0 & 0 & \beta & \alpha - E \end{bmatrix} \times \begin{bmatrix} c_1 \\ c_2 \\ c_3 \\ c_4 \end{bmatrix} = 0$$

$$(\alpha - E)(\alpha + \beta - E) - \beta^2 = 0$$

$$E_{\pm} = \alpha + \frac{1 \pm \sqrt{5}}{2} \beta$$

E

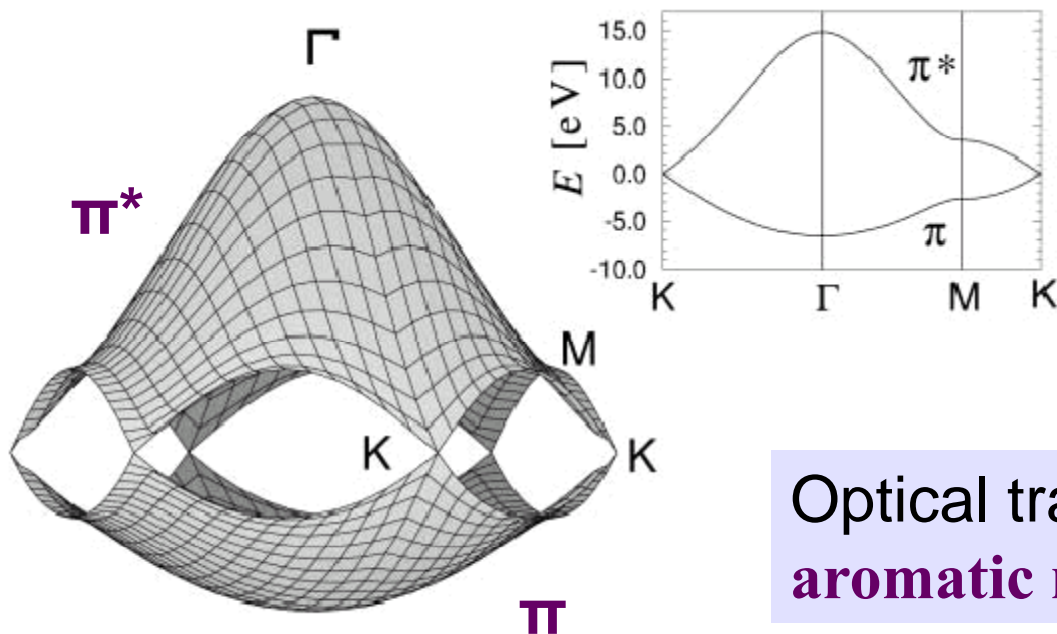


From Wikipedia

Huckel π and π^* MOs (Band structure) of graphene

Molecular Orbital Energies are a function of electron momentum $k(x,y)$ in the plane of graphene

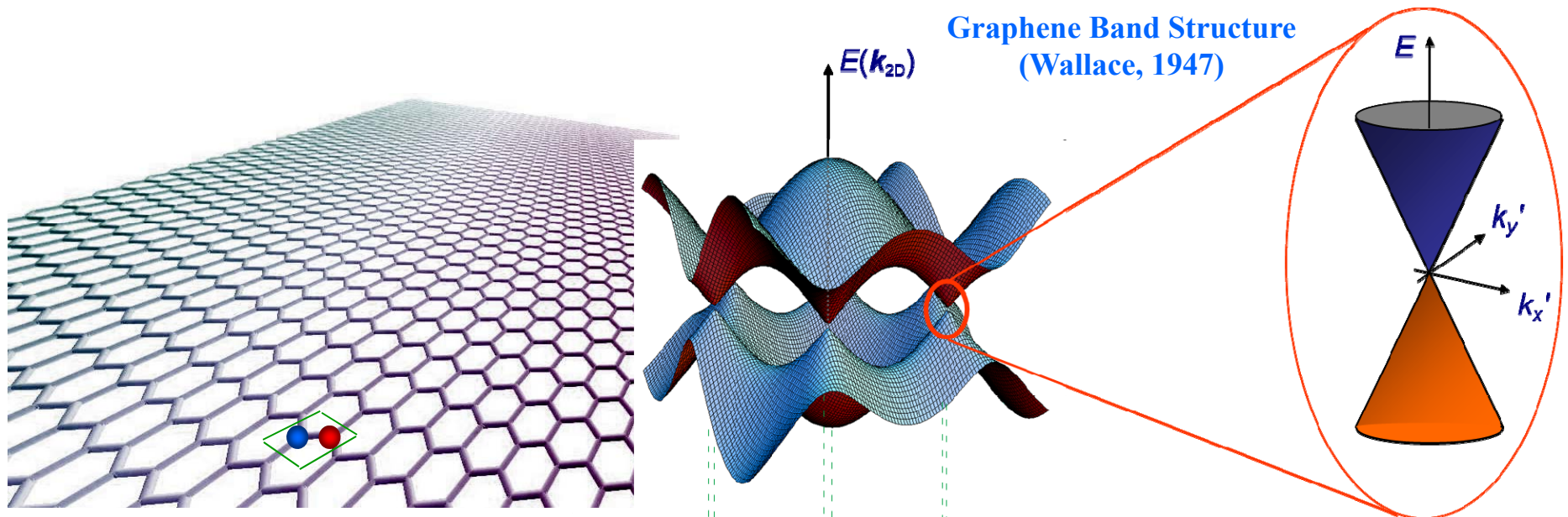
Electron momentum k is continuous for infinite plane of graphene



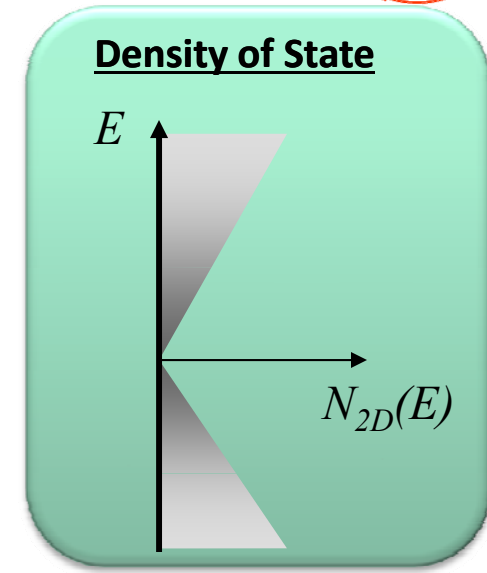
$\beta = 3.033$ eV
Resonance integral

Optical transitions: π to π^* just as in aromatic molecules

Graphene: atomically thin SP₂ carbon network

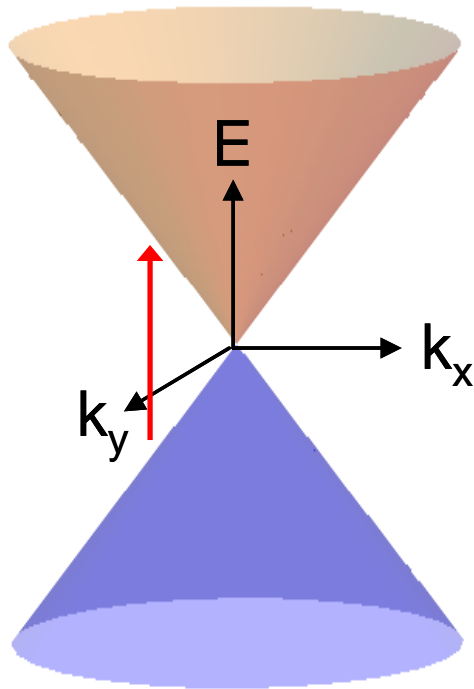


- Atomically thin 2D system
- Zero carrier mass: high mobility
- Graphene is zero-gap semiconductor
- Density of State is zero at $E = 0$.



Graphene electronic absorption

π interband transitions



No band gap – continuous absorption in IR, visible, and UV

Optical (sheet) conductivity:

$$\sigma^{(1)}(\omega) = \frac{\pi e^2}{2h} = (\pi/4) G_0$$

Optical absorption:

$$A(\omega) = \frac{\pi e^2}{\hbar c} = \pi\alpha = \frac{\pi}{137} = 2.3\%$$

Mak and Heinz

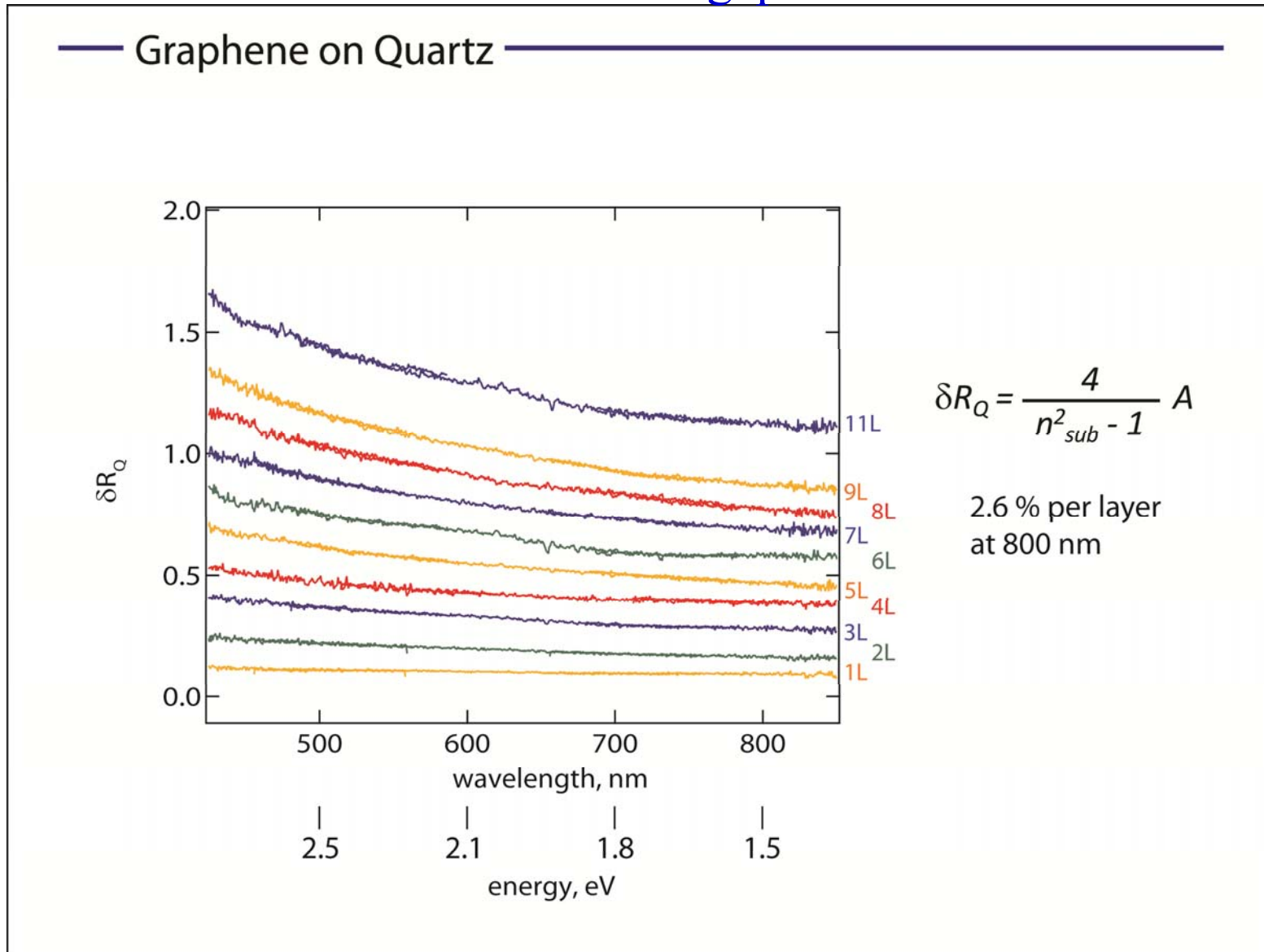
V. P. Gusynin et al., PRL 96, 256802 (2006)

S. Ryu et al., PRB 75, 205344 (2007)

D. S. L. Abergel et al., PRB 75, 155430 (2007)

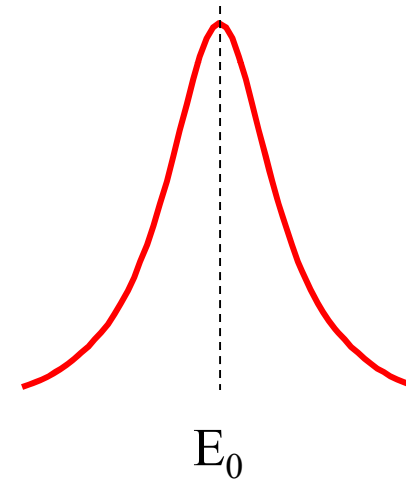
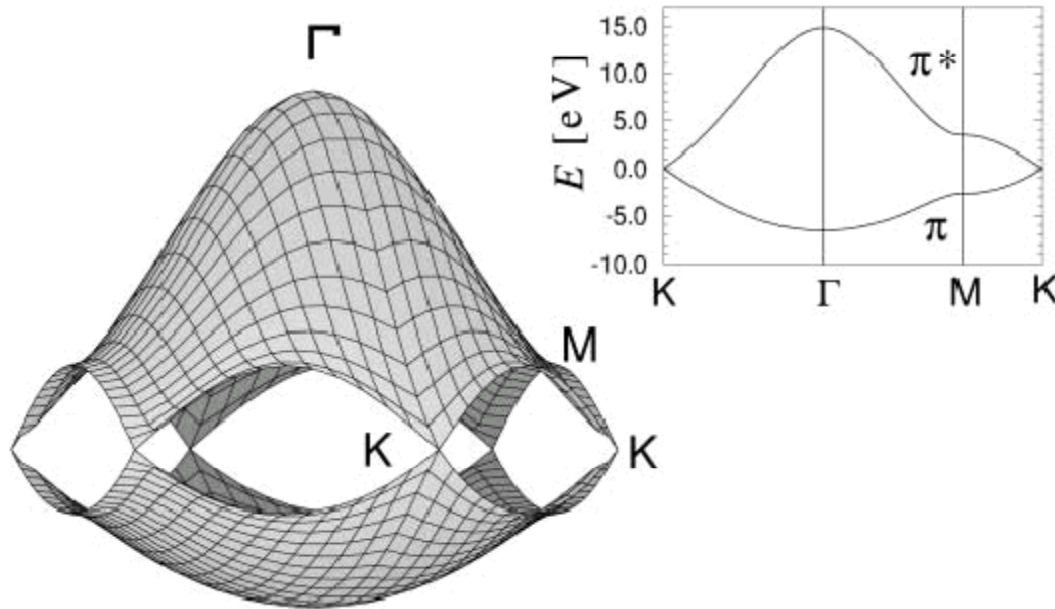
Continuous electronic absorption across the IR, Visible and Ultraviolet

No band gap



Absorption increases in UV at M saddle point

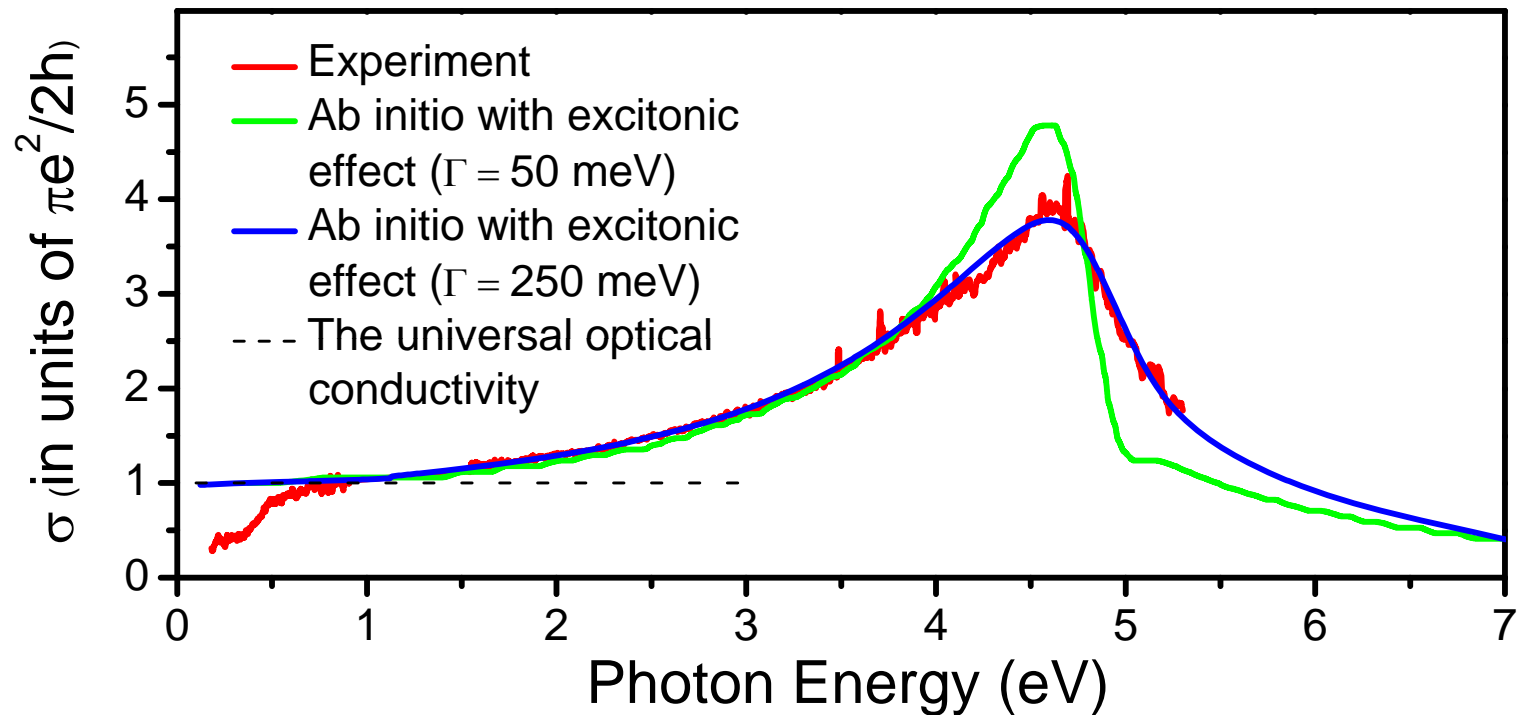
Independent electron model: no correlation



$$DOS_{SP}^{2D}(\omega) \propto -\ln \left| 1 - \frac{\omega}{E_0} \right|$$

Symmetric line shape
near the saddle point, **assuming**
no electron correlation

An Exciton (electron-hole bound state) with 0.25eV Binding Energy forms at the M saddle point, even though the system is metallic



Existence of strong e-h interactions at the graphene saddle point

Quasiparticles' lifetime near the M-point ~ 2.6 fs

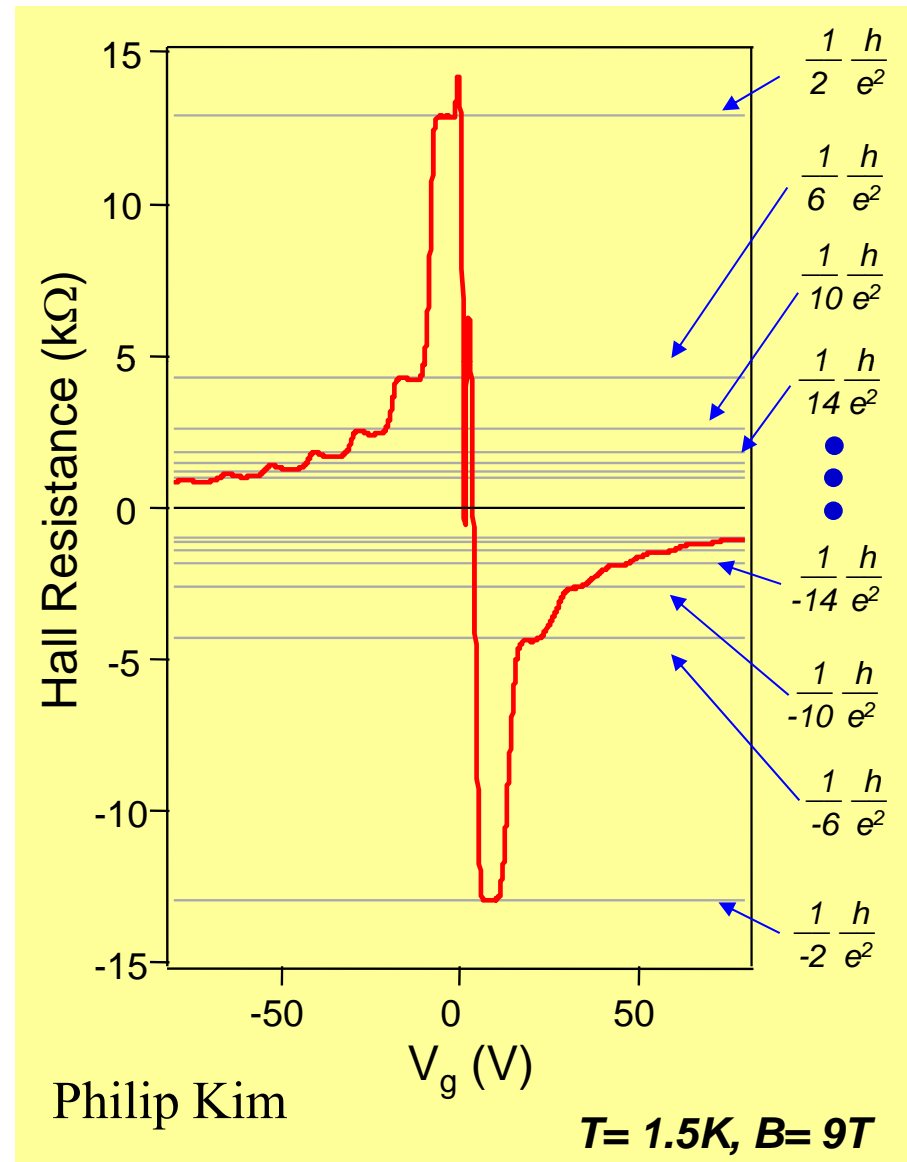
Also Chae et al, (von Klitzing group) Nano Lett. (2011) 11, 1379.

Fano lineshape at saddle point

Strong Correlation: Graphene Fractional quantum Hall effect at low temperature

Andre Geim & Philip Kim

Fractional Quantum Hall Effect



Classic signature of Correlated Electron Motion at low temperature

Robust effect implies that electron-electron interactions are essentially unscreened.

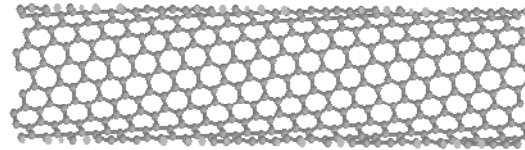
Bolton et al, Nature 2009, 462, 192
Du et al, Nature 2009, 462, 192.

Remarkable properties all result from strong aromatic pi chemical bonding

If electron correlation is strong in graphene, it should be stronger in semiconducting SWNT:

Lower dimensionality

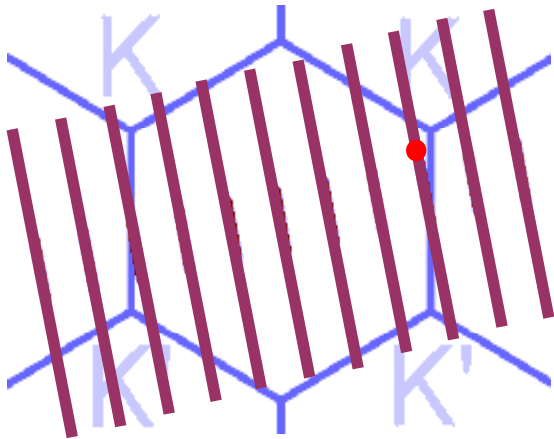
Existence of a Band Gap; less screening



(7,12) Chiral Semiconducting Tube

Semiconductor Carbon Nanotubes

Independent Electron Model: no correlation

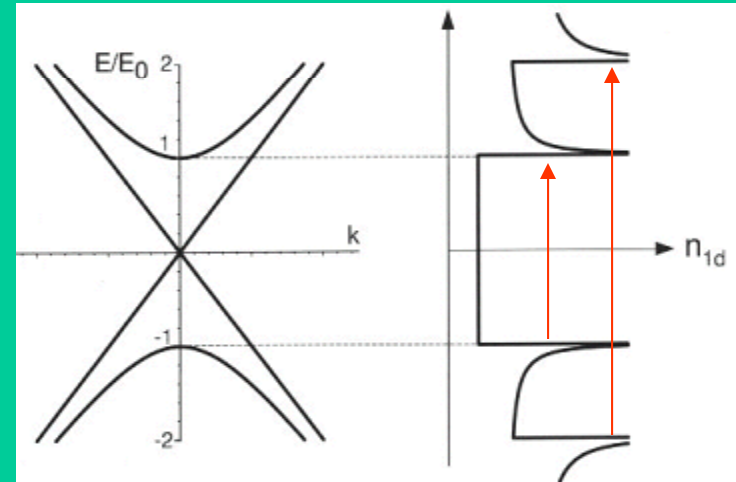


Size Quantization in Nanotubes:

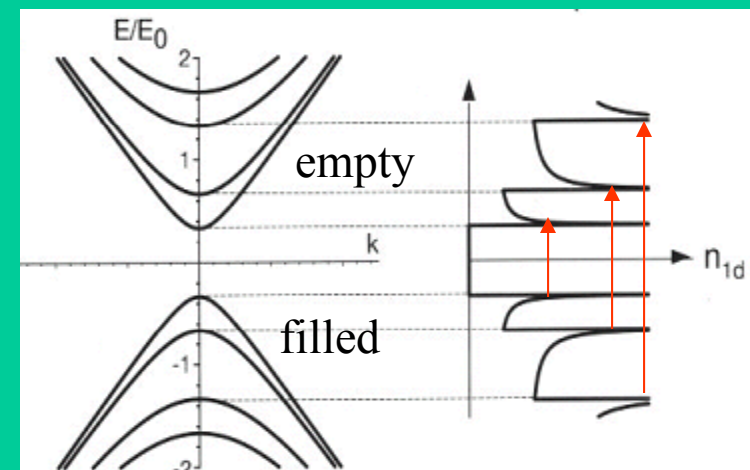
Electron momentum k
quantized around circumference.

Electron momentum remains
continuous along length

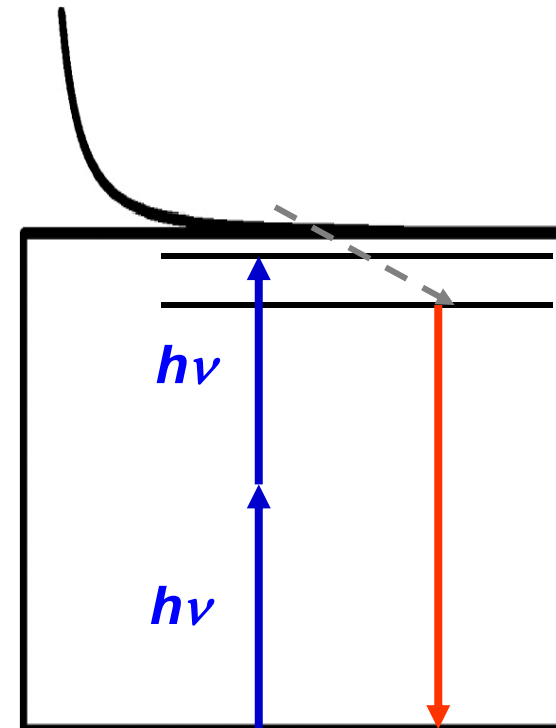
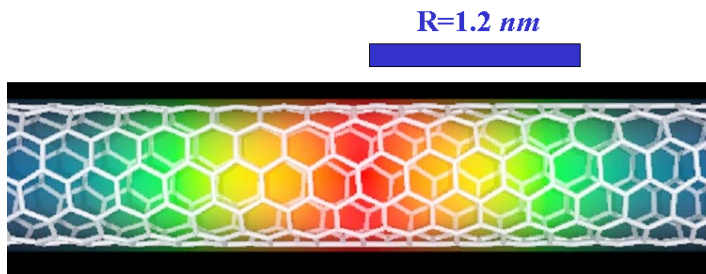
Metallic:



Semiconducting:



Correlation: Neutral Bound Excitons Due to electron-hole attraction



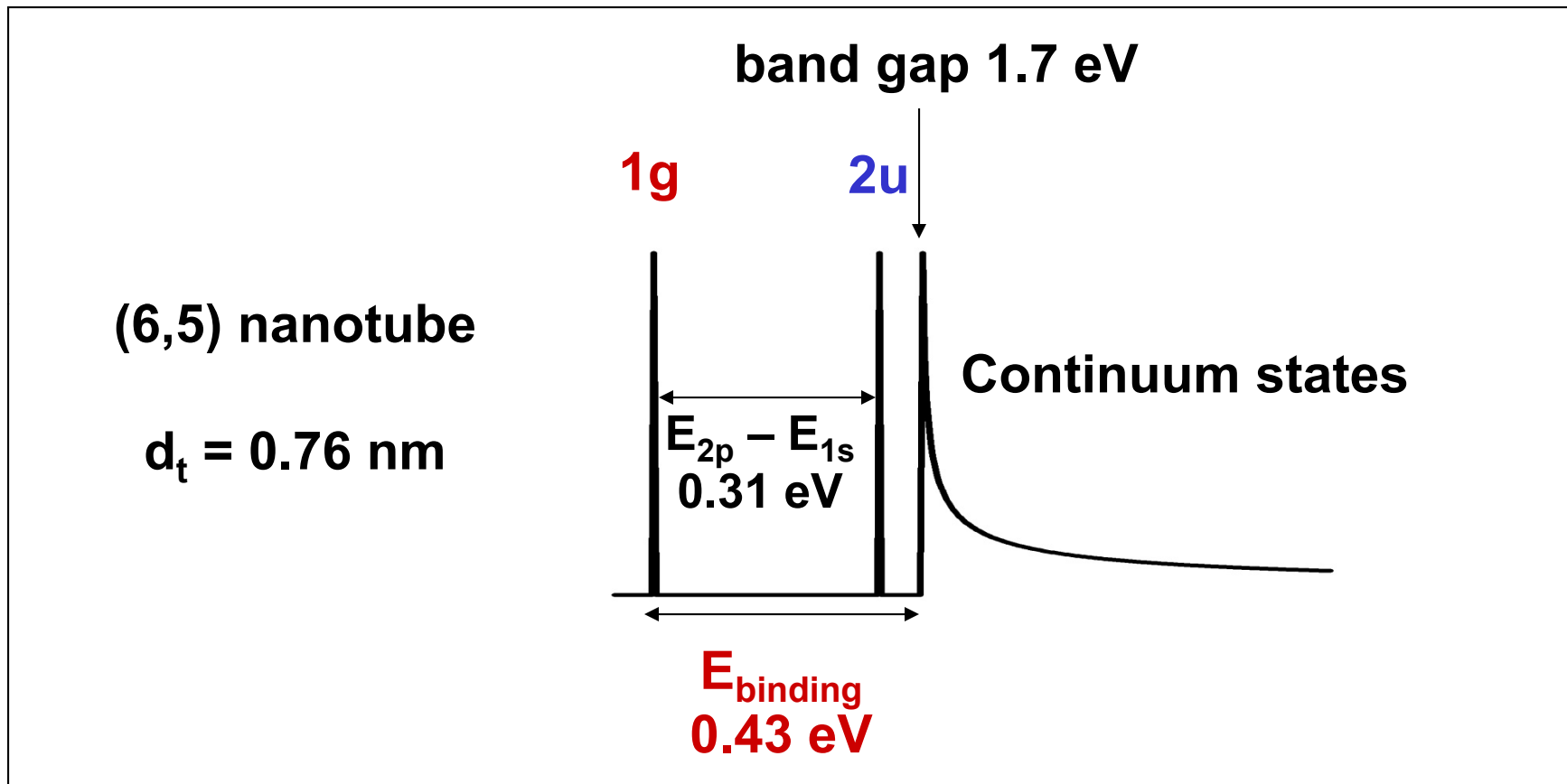
Exciton envelope wavefunction:

Neutral excited state moves as a unit along the SWNT

Exciton Bound states below the van Hove Band Edge

Two photon luminescence excitation spectra shows strongly bound exciton

F. Wang *et al*, Science 308, 838(2005)



For comparison:

Poly(phenylene vinylene) ~ 0.35 eV

Semiconductor nanowires \sim tens of meV

Why? Increased electron-electron interaction in Nanostructures

Two independent factors: dimensionality and screening

1. Dimensionality with no change in screening:

3D bulk semiconductor: weak Coulomb, excitons not important

2D confinement in plane: Coulomb interaction up by 4x

1D confinement on line: Coulomb interaction diverges!

Low Dimensionality implies increased electron-electron correlation

0D quantum dot is a different case: no dissociation, less correlated motion,
Finite Coulomb interaction, kinetic energies larger

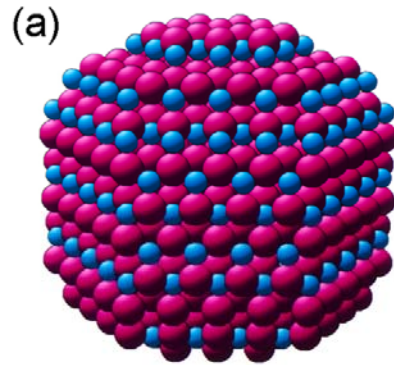
2. Screening of Coulomb interaction:

reduced screening in 1D,

almost full screening in 0D

Reduced screening implies increased electron-electron correlation

Quantum Dots compared to Carbon Nanotubes



4nm CdSe nanocrystal

Particle in box orbitals

Surface states and ligands

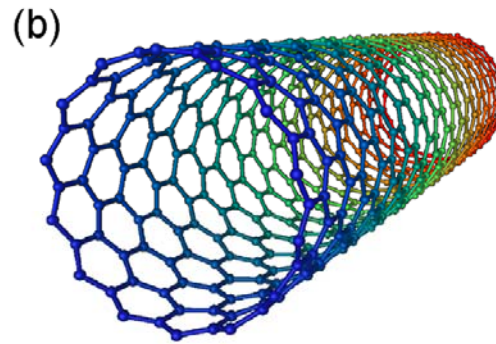
Rigid structure

Hard to collect photocurrent

Band gap: 2.2 eV

Kinetic energies 0.4 eV

Coulomb energy 0.1 eV



1nm Carbon Nanotube

Plane wave basis orbitals

No surface states or ligands

Rigid structure: minor Franck-Condon shift

Easy to collect photocurrent

Band Gap: 1.7 eV

Kinetic Energies 0.4 eV

Coulomb Energy: 0.8 eV

Carbon Nanotubes apparently have the strongest electron-electron interaction of any Nanosystem

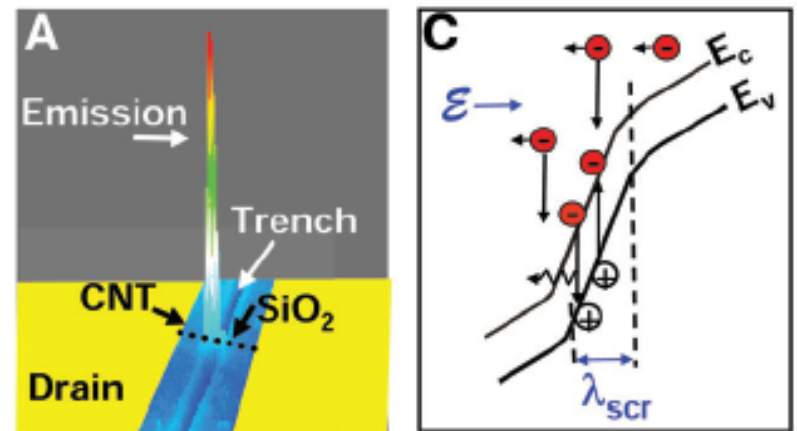
Enhanced impact ionization

Decay of accelerated “hot” electrons by exciton creation
rather than phonon creation

Bright Infrared Emission from Electrically Induced Excitons in Carbon Nanotubes

Jia Chen,^{1*} Vasili Perebeinos,¹ Marcus Freitag,¹ James Tsang,¹
Qiang Fu,² Jie Liu,² Phaedon Avouris^{1*}

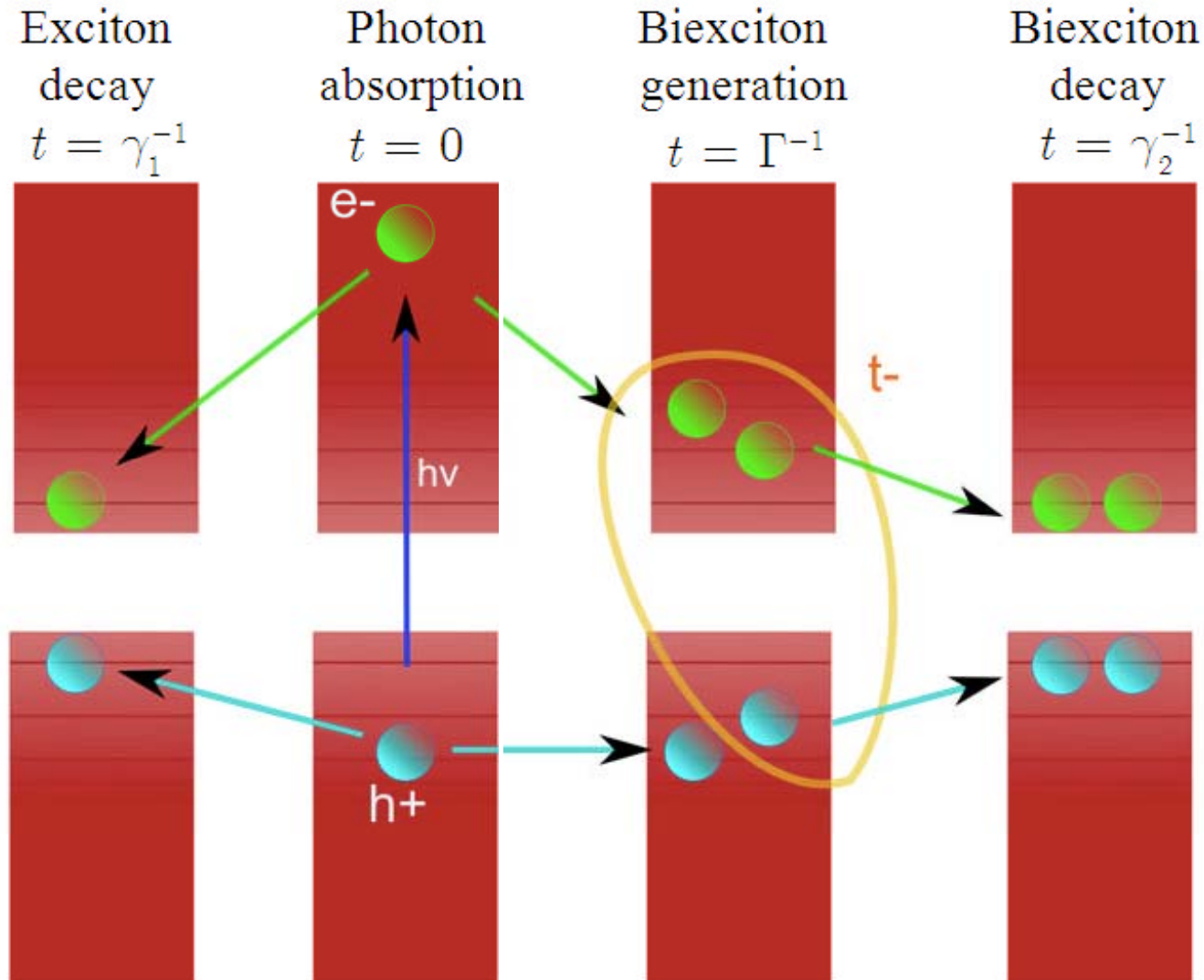
We used the high local electric fields at the junction between the suspended and supported parts of a single carbon nanotube molecule to produce unusually bright infrared emission under unipolar operation. Carriers were accelerated by band-bending at the suspension interface, and they created excitons that radiatively recombined. This excitation mechanism is ~ 1000 times more efficient than recombination of independently injected electrons and holes, and it results from weak electron-phonon scattering and strong electron-hole binding caused by one-dimensional confinement. The ensuing high excitation density allows us to observe emission from higher excited states not seen by photoexcitation. The excitation mechanism of these states was analyzed.



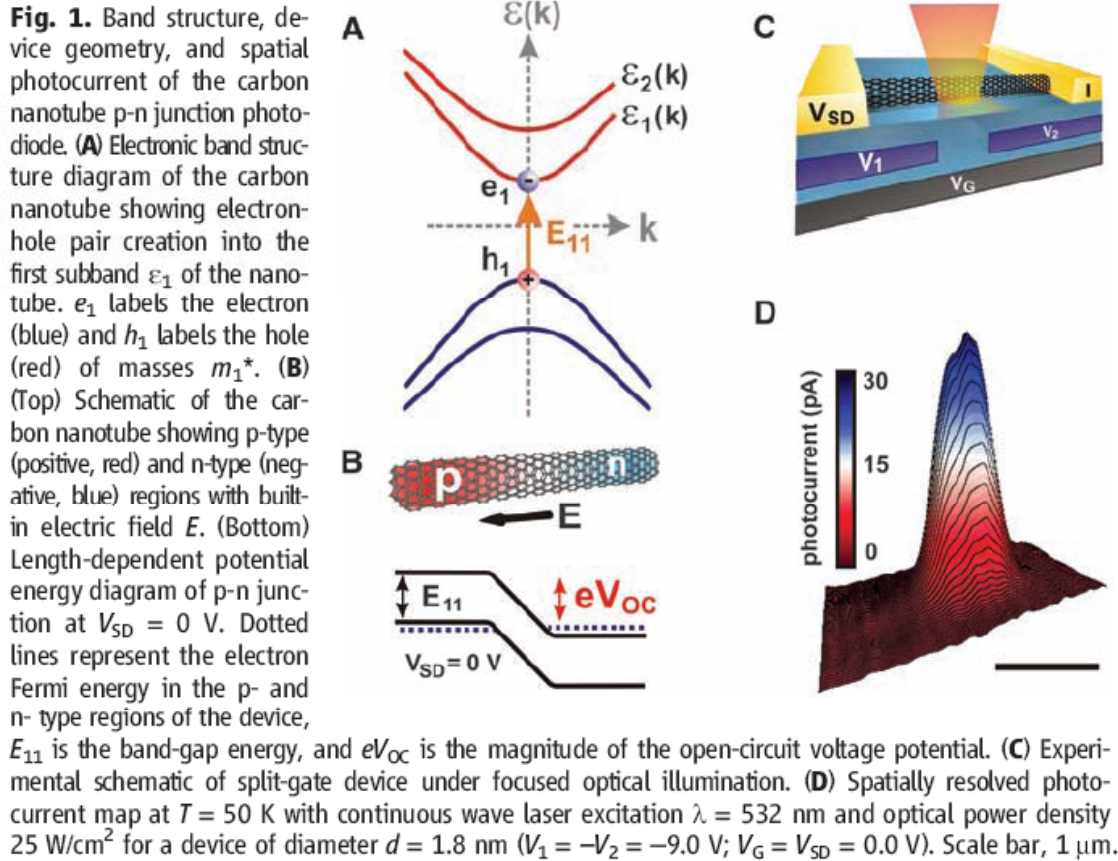
18 NOVEMBER 2005 VOL 310 SCIENCE

Hot Carrier Impact Exciton generation rate 10^{+15} s^{-1}

1. High MEG: Either increase electron-electron interaction or slow down vibrational relaxation of “hot” Electron



Direct electrical current collection from strong MEG in Carbon Nanotubes



Extremely Efficient Multiple Electron-Hole Pair Generation in Carbon Nanotube Photodiodes

Nathaniel M. Gabor,^{1*} Zhaohui Zhong,^{2†} Ken Bosnick,⁴ Jiwoong Park,³ Paul L. McEuen^{1,2}

We observed highly efficient generation of electron-hole pairs due to impact excitation in single-walled carbon nanotube p-n junction photodiodes. Optical excitation into the second electronic subband E_{22} leads to striking photocurrent steps in the device I - V_{SD} characteristics that occur at voltage intervals of the band-gap energy E_{GAP}/e . Spatially and spectrally resolved photocurrent combined with temperature-dependent studies suggest that these steps result from efficient generation of multiple electron-hole pairs from a single hot E_{22} carrier. This process is both of fundamental interest and relevant for applications in future ultra-efficient photovoltaic devices.

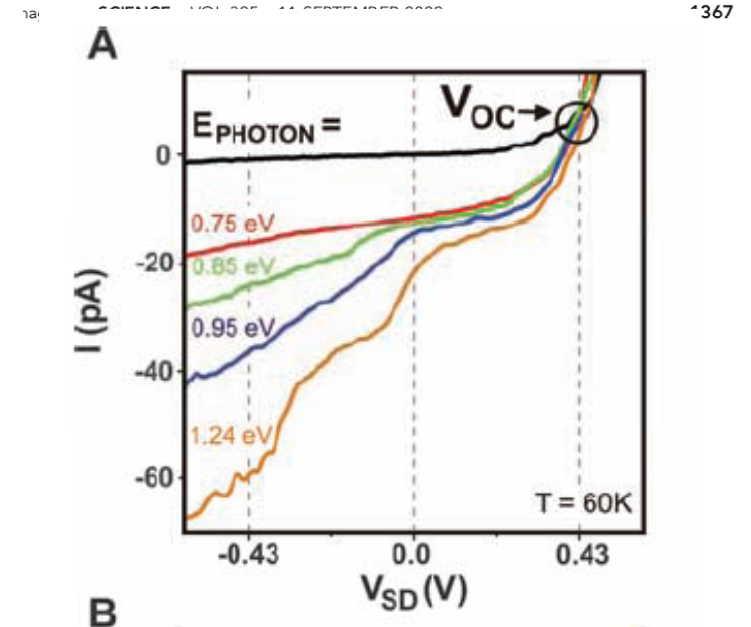
A single-walled carbon nanotube (SWNT), which can be viewed as a rolled sheet of graphene, generates numerous species of one-dimensional charge carriers whose energies shown in Fig. 1A) are given by:

$$\epsilon_i(k) = \pm \sqrt{(m_i^* v_F^2)^2 + (\hbar k v_F)^2} \quad (1)$$

where $v_F = 8 \times 10^5$ m/s is the Fermi velocity of graphene, \hbar is Planck's constant, $\hbar k$ is the carrier

momentum along the length of the nanotube, and m_i^* is the effective mass of the i th subband ($i = 1, 2$). For a semiconducting SWNT, the band-gap energy $E_{11} = 2m_1^* v_F^2$ is the energy required to generate an electron-hole (e-h) pair (Fig. 1B), whereas higher subband energies such as $E_{22} = 2E_{11}$ correspond to excitations with greater effective mass ($m_2^* = 2m_1^*$).

The small Fermi velocity and low dielectric constant in SWNTs suggest that high-energy carriers should efficiently generate e-h pairs. Ef-

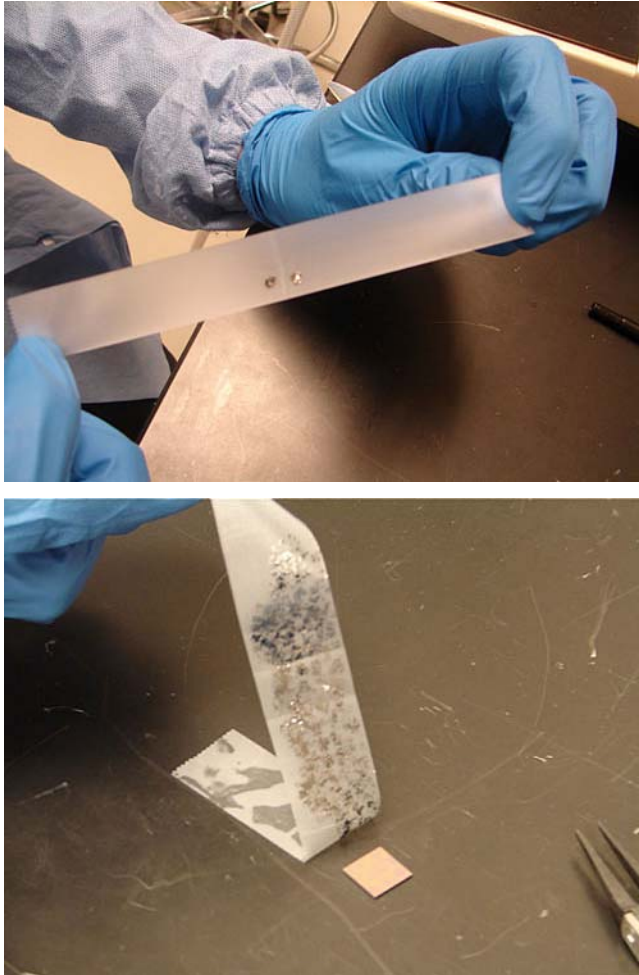


Nobel Prize in Physics 2010
Andre Geim and Konstantin Novoselov

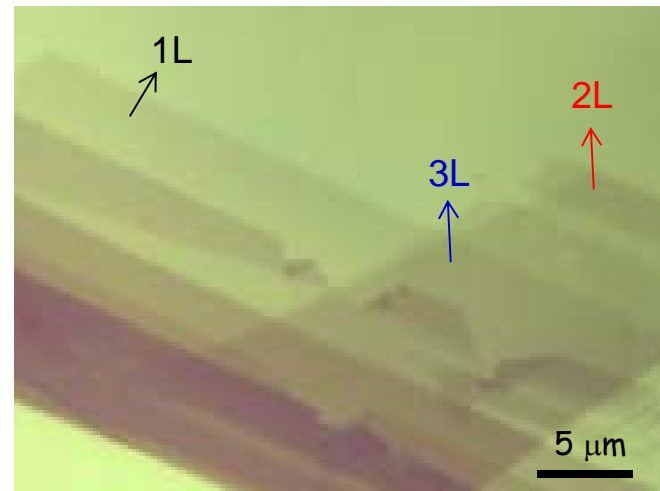


For Graphene
Five years from discovery to Nobel Prize!!

A simple Nobel Prize experiment



Micro-mechanical exfoliation
using “Scotch tape”



Kish graphite on 300 nm SiO₂/Si

-Scientific American
@ Columbia University

Novoselov, Geim et al. PNAS 102, 10452 (2005)³²

Large Scale CVD Grown Graphene

Graphene/ Ni

Jing Kong Group (MIT)

A. Reina et al., Nano Letters (2009)

Byung Hee Hong Group (SKKU)

K. Kim et al., Nature (2009)

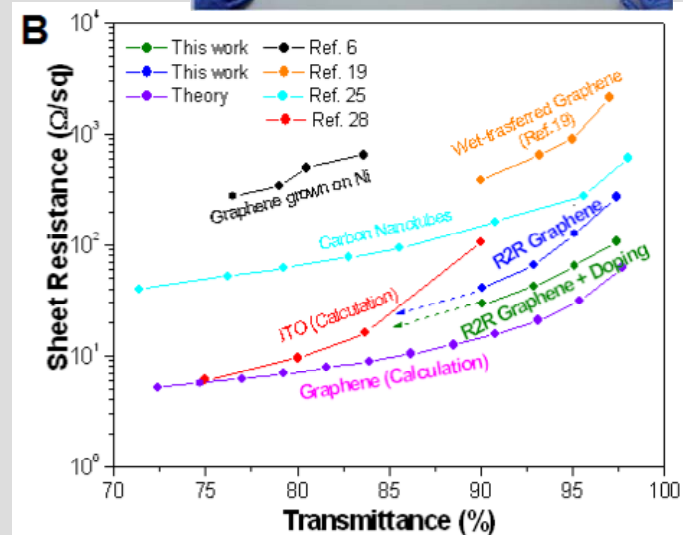
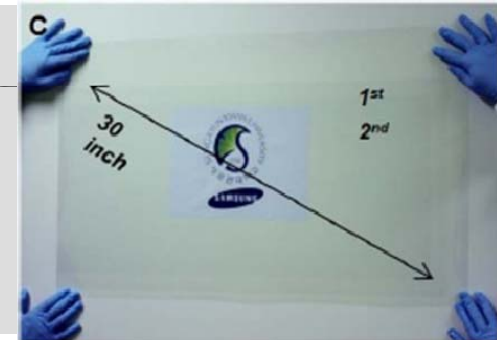
Graphene/ Cu

Rod Ruoff Group (Austin)

X. Li et al., Science (2009)

30 inch Roll-Based Production of High-Quality Graphene Films for Flexible Transparent Electrodes

Sukang Bae^{1*}, Hyeon Keun Kim^{3*}, Youngbin Lee¹, Xianfang Xu⁵, Jae-Sung Park⁷, Yi Zheng⁵, Jayakumar Balakrishnan⁵, Danho Im², Tian Lei¹, Young Il Song⁶, Young Jin Kim^{1,3}, Kwang S. Kim⁷, Barbaros Özyilmaz⁵, Jong-Hyun Ahn^{1,4†}, Byung Hee Hong^{1,2†} & Sumio Iijima^{1,8}



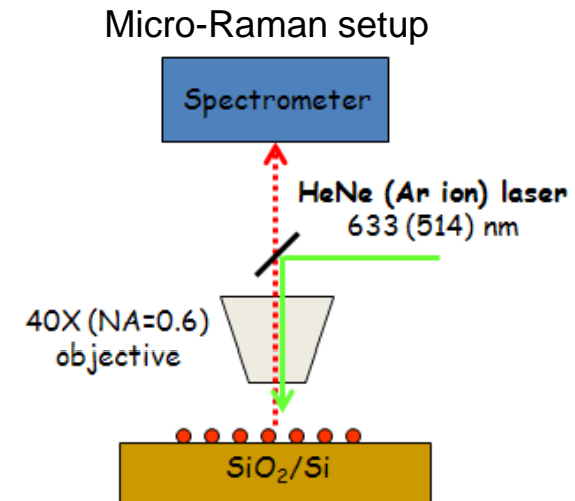
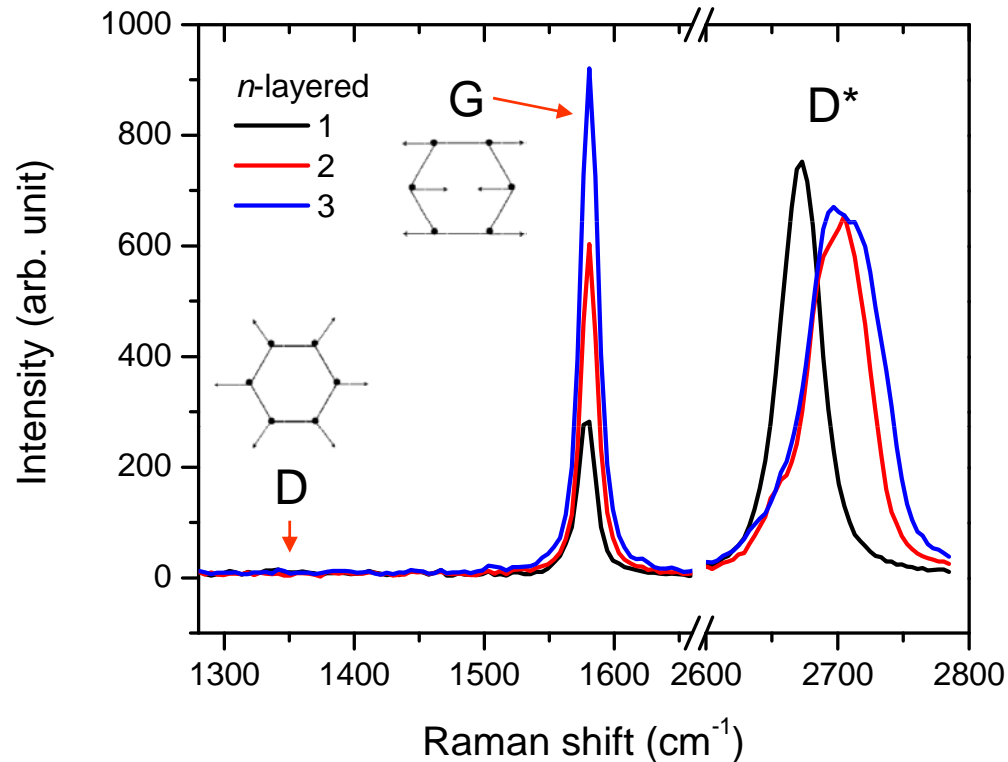
Molecules adsorbed on Graphene:

Strong charge transfer electrical doping

Strongly doped graphene is very different than neutral graphene:

Increased in plane DC conductivity, and decreased optical absorption in IR and Visible

Strong G band Resonance Raman scattering, coupled to interband electronic transitions



- A. Ferrari *et al.* PRL (2006)
 - J. Yan *et al.* PRL (2007)
 ...

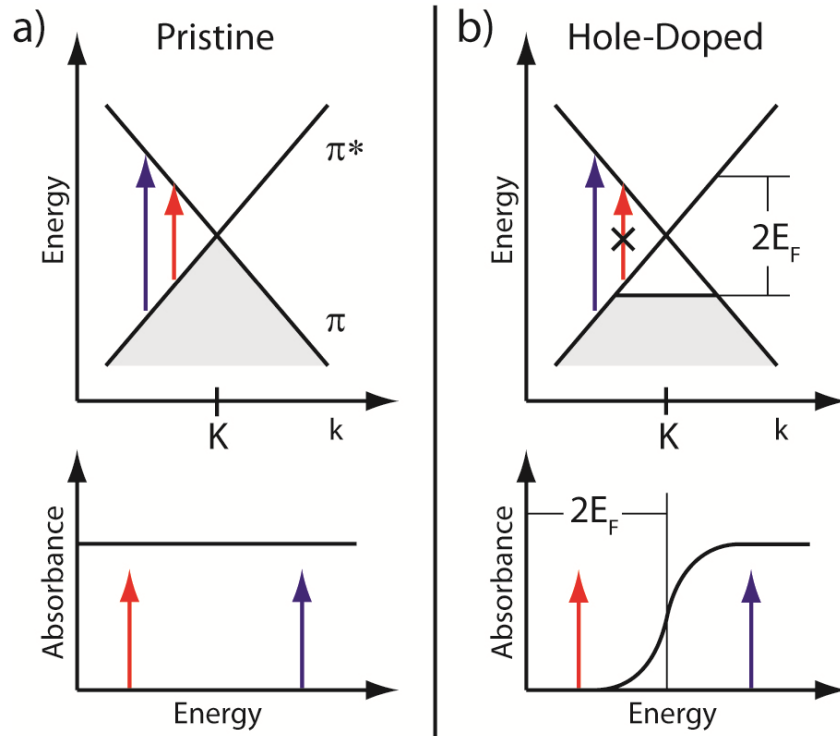
- G mode: C-C stretching ($\sim 1580 \text{ cm}^{-1}$)

Resonant and off-resonant intensity enhancement:

D. Basko, N. J. Phys. 11, 095011 (2009)

- D mode: ring-breathing ($\sim 1350 \text{ cm}^{-1}$) activated by structural defects – sp² carbon to sp³ carbon
- D* mode: overtone of D mode ($\sim 2700 \text{ cm}^{-1}$) indicates thickness

Doping bleaches the electronic spectrum, and shifts the Raman G band



Feng Wang

Uniqueness of graphene:

- All electrons are confined in a single atomic layer:
large electron density change for given gate voltage.
- Small density of states close to Dirac point:
large fermi energy shift for given electron density change.

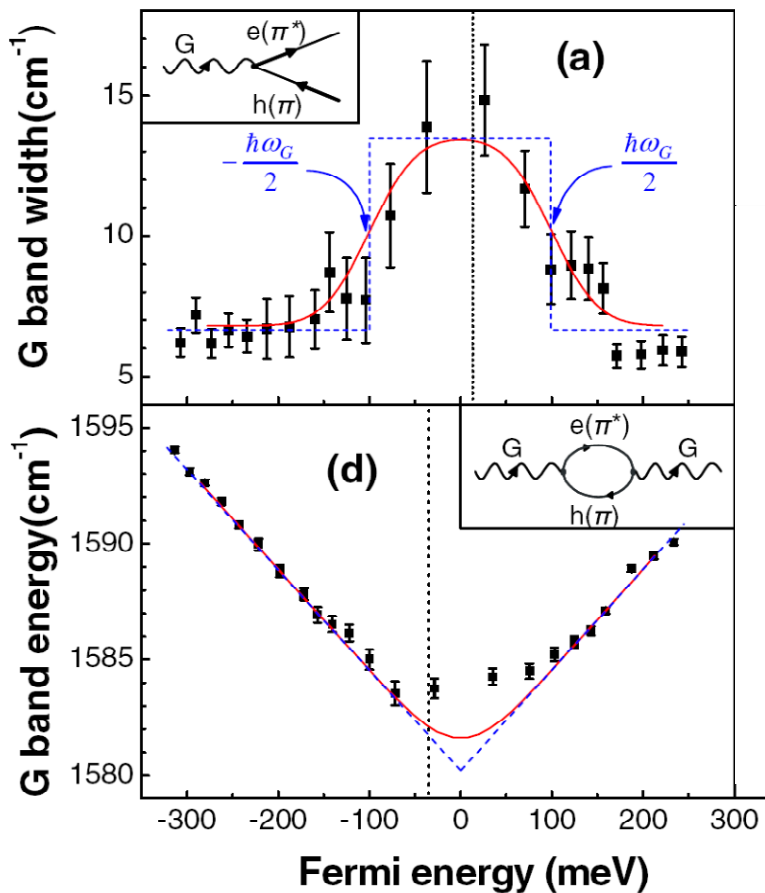
E_F shift of hundreds of meV:

Bleach Optical transitions into near infrared and visible

Shift position of G Raman line

Failure of Born-Oppenheimer Separation of Vibrational and Electronic Degrees of Freedom

- Phonon energy renormalization: $\omega_G \uparrow$ when $|E_F| \uparrow$
- Narrowing of the the G band width



Charge transfer shifts much larger

optical phonons [14,15]. This coupling contributes to the renormalization of the phonon energy [16]. Within the second order time-dependent perturbation theory, the change of phonon energy ω_{ph} with tuning of the Fermi energy is given by

$$\begin{aligned} \hbar\omega_{\text{ph}}(E_F) - \hbar\omega_{\text{ph}}(0) &\sim -\lambda \int_0^{2|E_F|} dE_{e-h} \frac{2E_{e-h}}{\hbar\omega_{\text{ph}}^2 - E_{e-h}^2} \\ &\sim \lambda \ln \left| 1 - \frac{2|E_F|}{\hbar\omega_{\text{ph}}} \right|, \end{aligned} \quad (1)$$

where λ is the electron-phonon coupling parameter with dimensions of energy. The integrand represents an

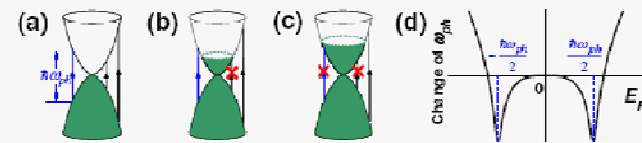
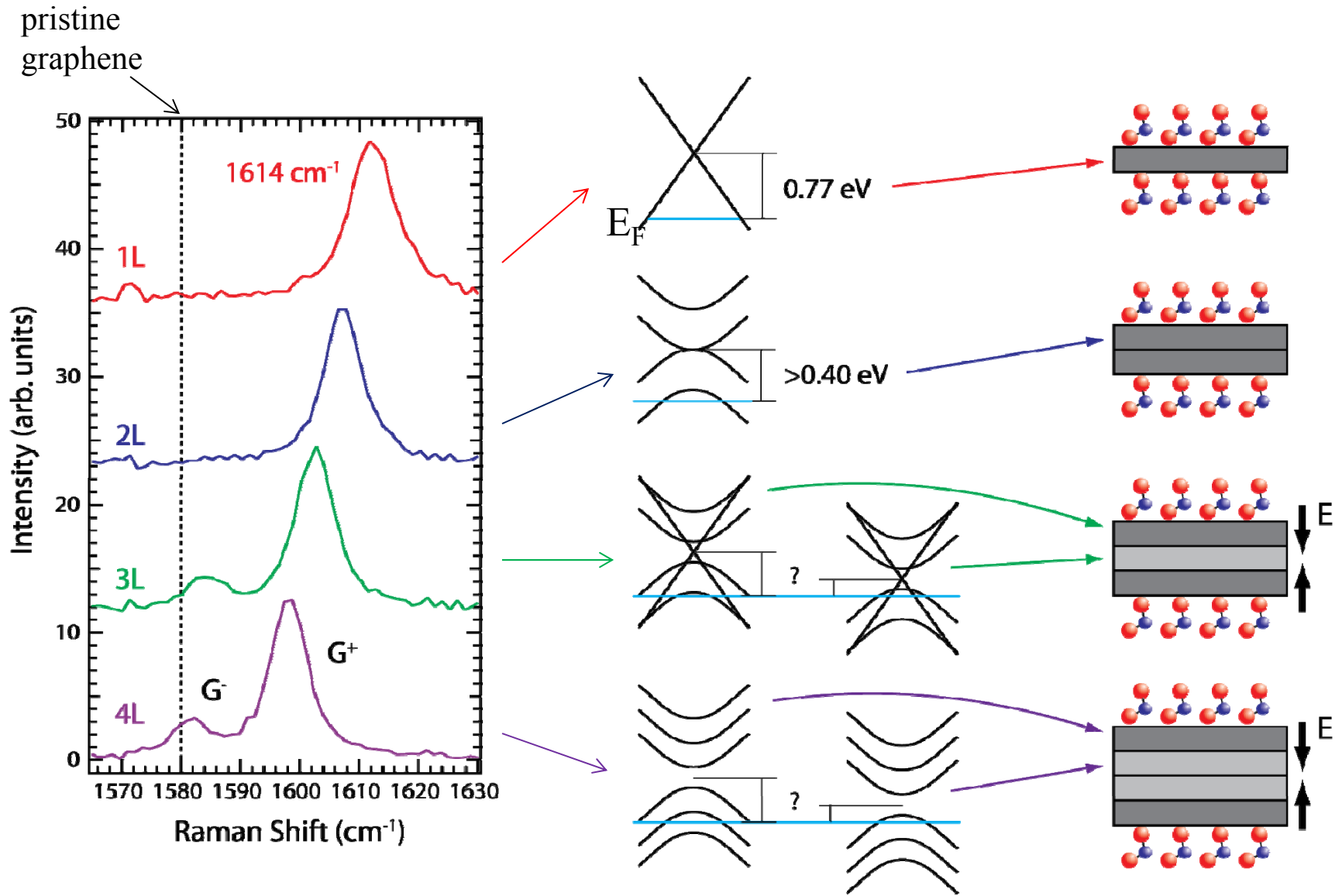


FIG. 1 (color online). (a)–(c) Vertical interband electron-hole pair transitions in a gapless 2D semiconductor with three different Fermi levels. Regions with green (or gray) shading are filled with electrons. The transition indicated by the blue (or dark gray) arrow is the resonance with the long-wavelength optical phonon. (d) Predicted change of phonon energy as a function of the Fermi energy. The two phonon anomalies show up at $E_F = \pm \hbar\omega_{\text{ph}}/2$.

J. Yan et al. PRL **98**, 166802 (2007)
 Yan et al, PRL **102**, 136804(2008)
 Pinczuk group

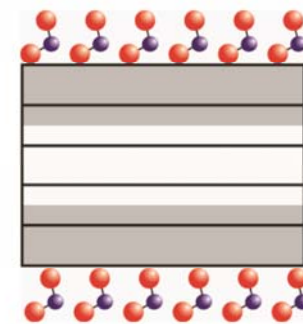
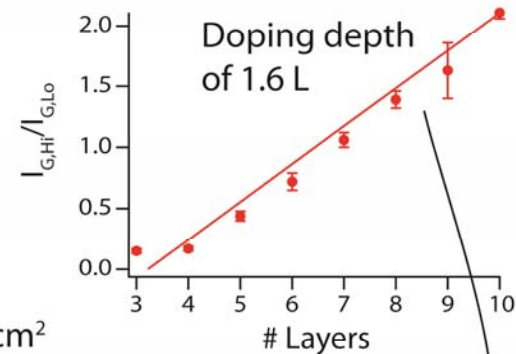
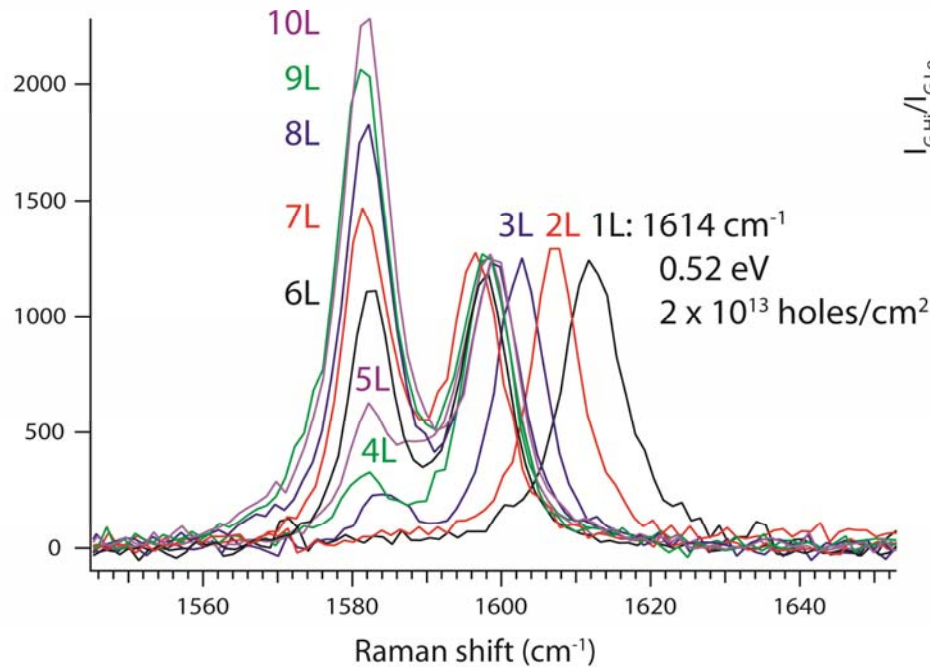
NO₂ Adsorption: Surface Hole Doping



Crowther et al, ACS Nano **6**, 1865 (2012)

NO₂ Adsorption: Hole Doping

- NO₂ is very electronegative, so it should be a strong hole doper of graphene.
- Electron affinity is 3.9 eV.
- N₂O₄ has no unpaired electrons and is weakly doping.



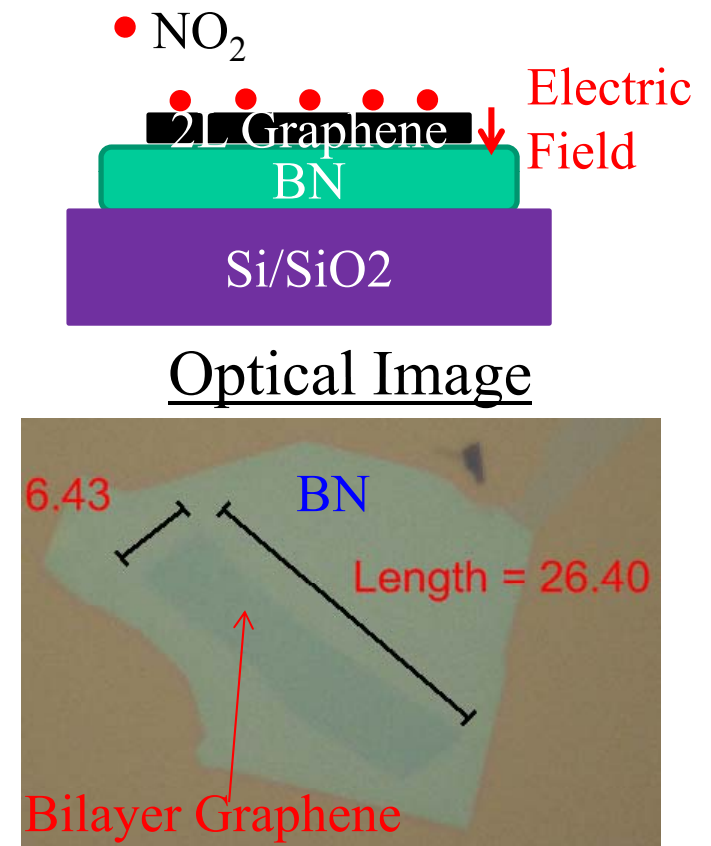
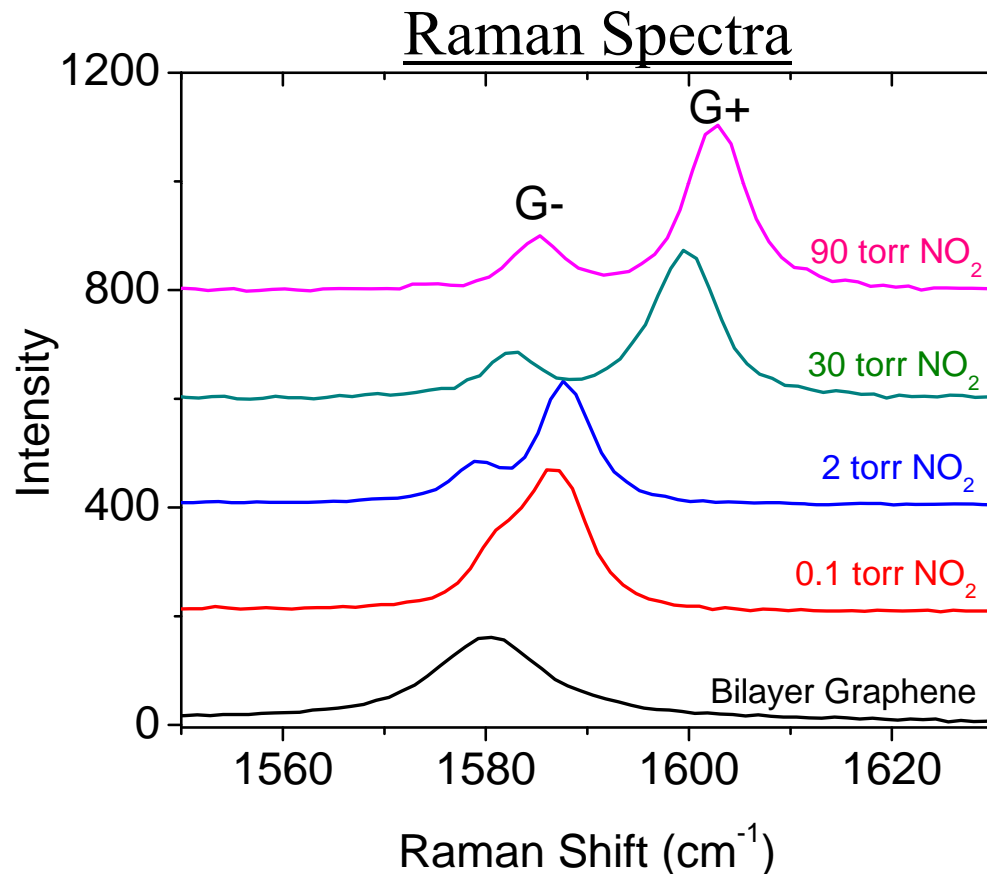
- This model assumes that layers are either doped equally or not doped.

2L shows only one G line: Gas adsorption on both top and bottom layers

Surface Hole doping extends inside only 1-2 layers

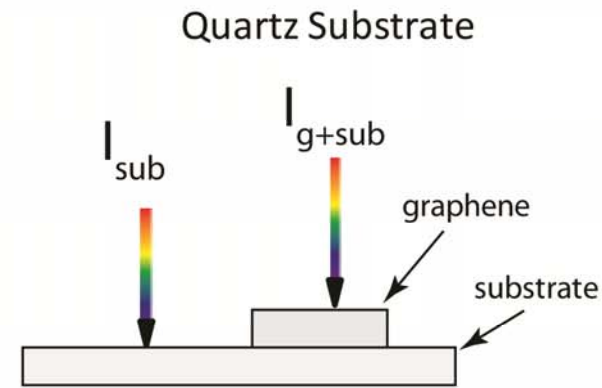
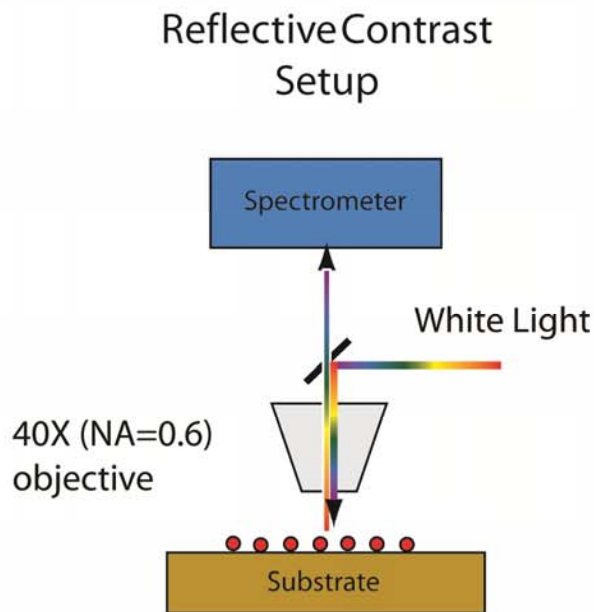
One sided doping of Bilayer Graphene on h-BN

- The Strong graphene-BN interaction blocks diffusion of NO_2 between graphene and BN, introducing one-side doping to bilayer (2L) graphene.



Direct observation of Optical Bleach Due to Hole Doping

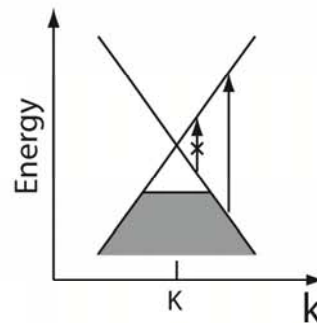
Reflective Contrast Spectroscopy



$$\delta R_Q = \frac{I_{g+sub} - I_{sub}}{I_{sub}} = \frac{4}{n_{sub}^2 - 1} A$$

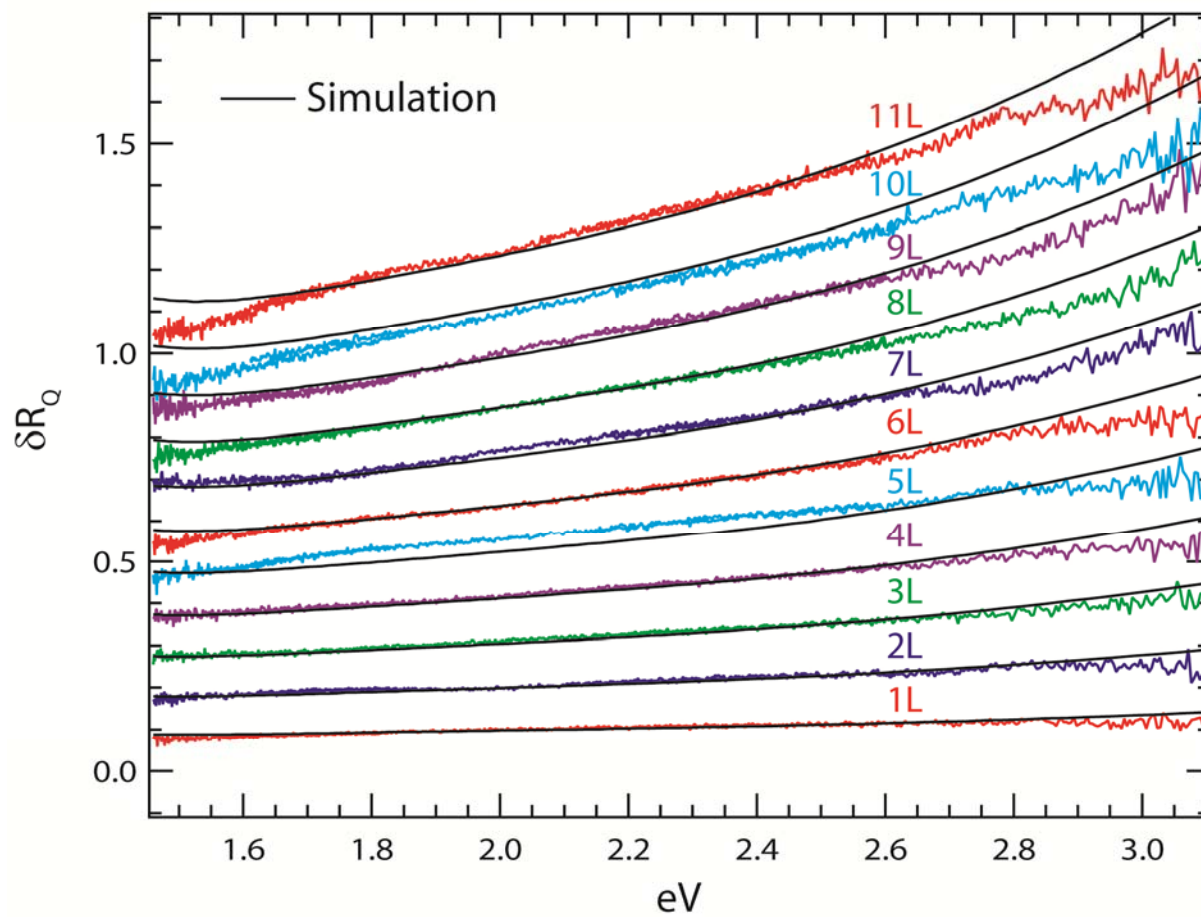
Fractional reflectance is proportional to Absorbance

- Can get graphene thickness on Quartz up to 10L
- 1L graphene will not absorb at energies below twice the Fermi level
- Molecular spectra may appear and shift from gas phase values
- Charge transfer optical transitions may be present



K. F. Mak *et al.*, Phys. Rev. Lett. **101**, 196405 (2008)

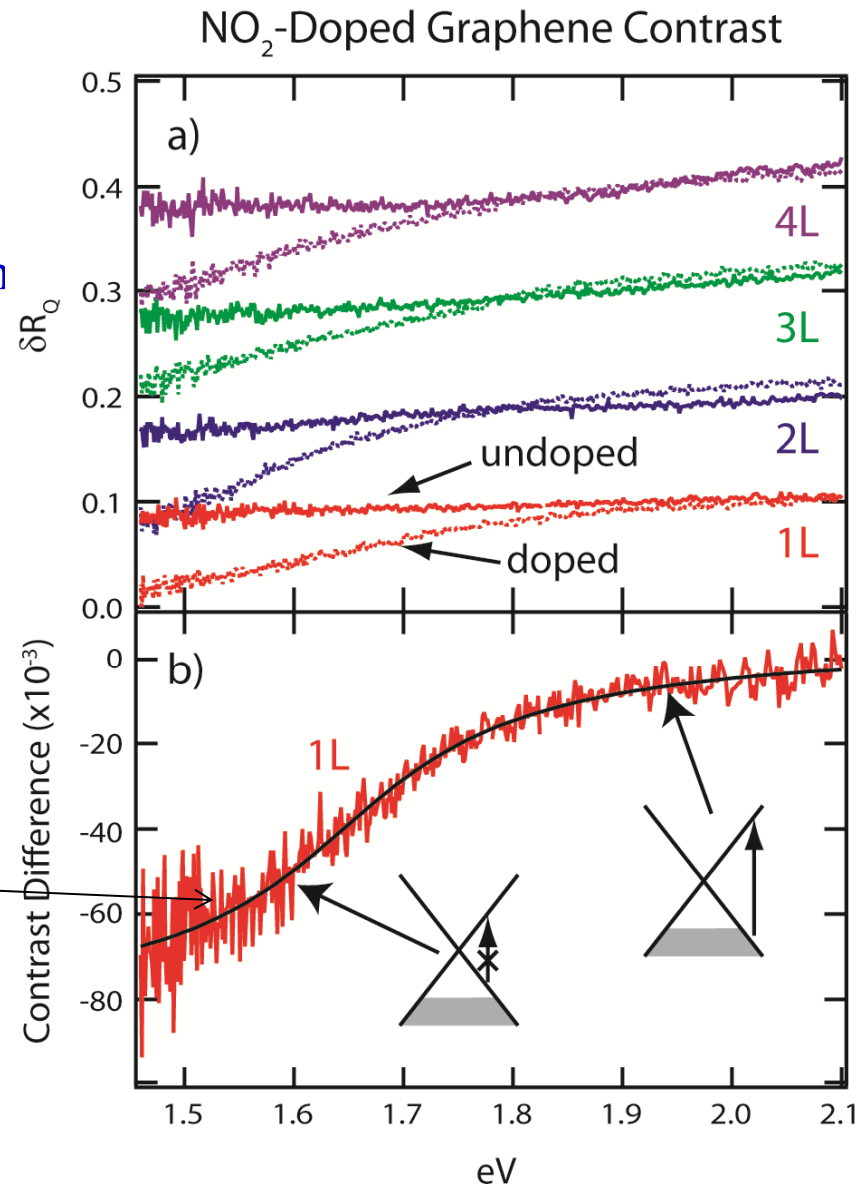
Pristine Graphene Contrast Measurements



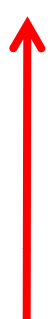
Bleaching of electronic absorption due to surface hole doping

In 1L graphene, Fermi level shift
Of about 0.75 eV from both the Ram
Shift and the electronic bleach

Bleach due to hole doping



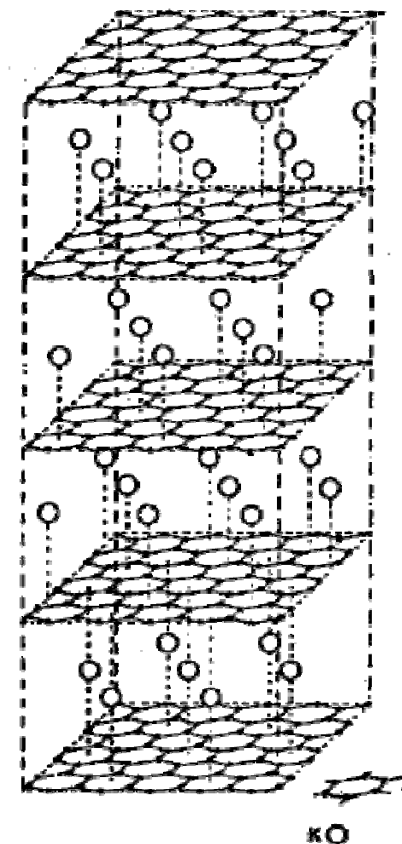
Molecules between the layers: Graphite Intercalation Compounds



Donor: Alkali Metal, Alkaline earth metals, lanthanides.

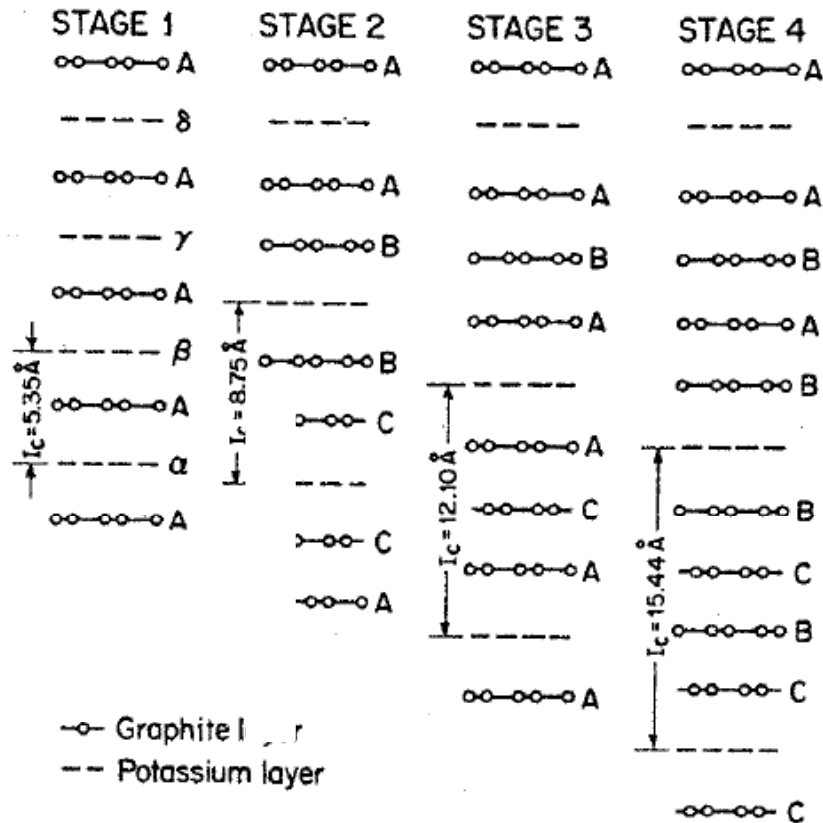
Acceptor: Lewis acid
Intercalants
(Halogens, Acidic Oxides, Strong Bronsted acids)

- More than 100 reagents can be intercalated into graphite.



Bromine forms a stage 2 Bulk Intercalation Compound

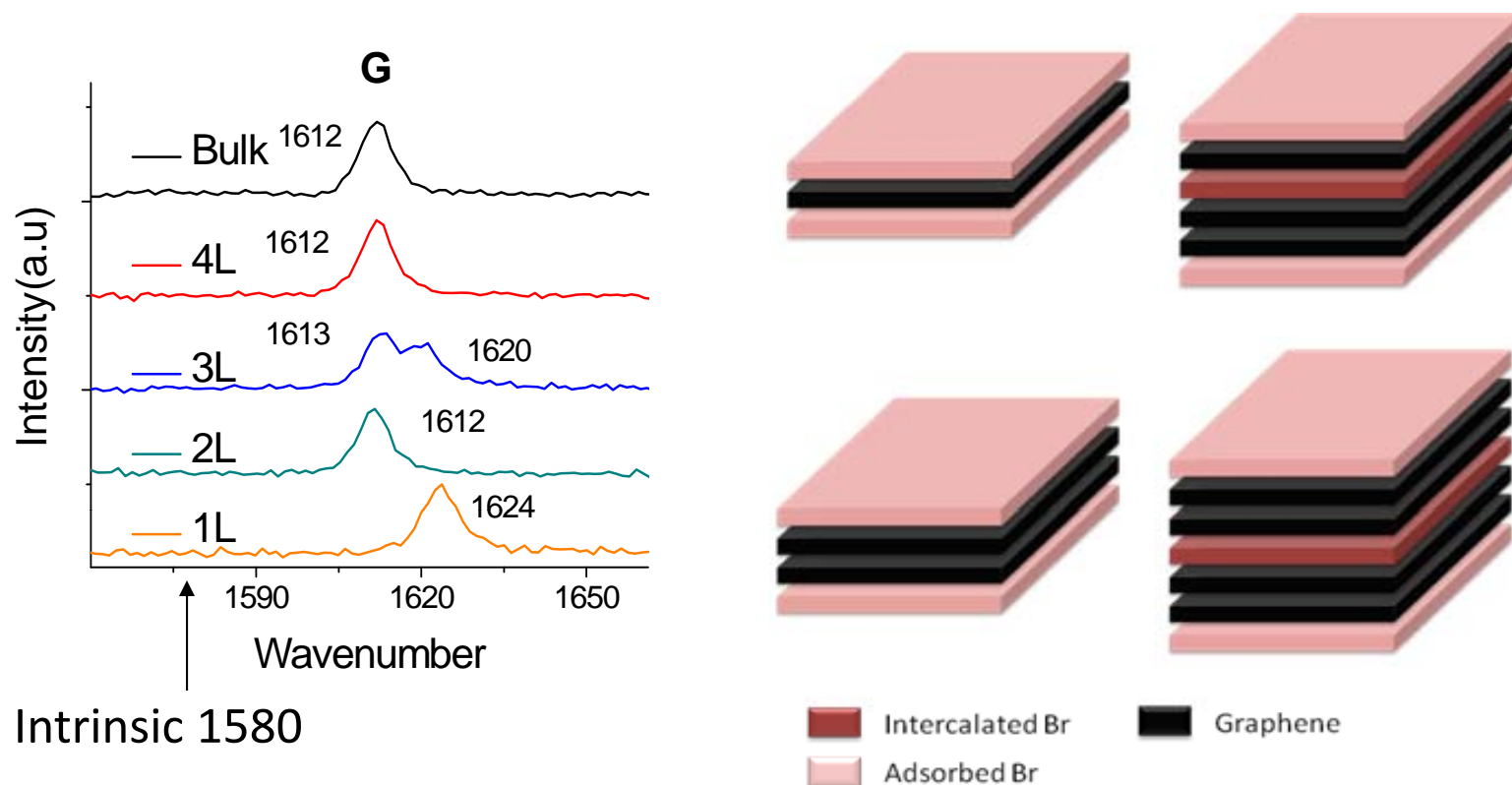
Bromine



○-○-○-○ **Graphene**
 ----- **Intercalate Layer**

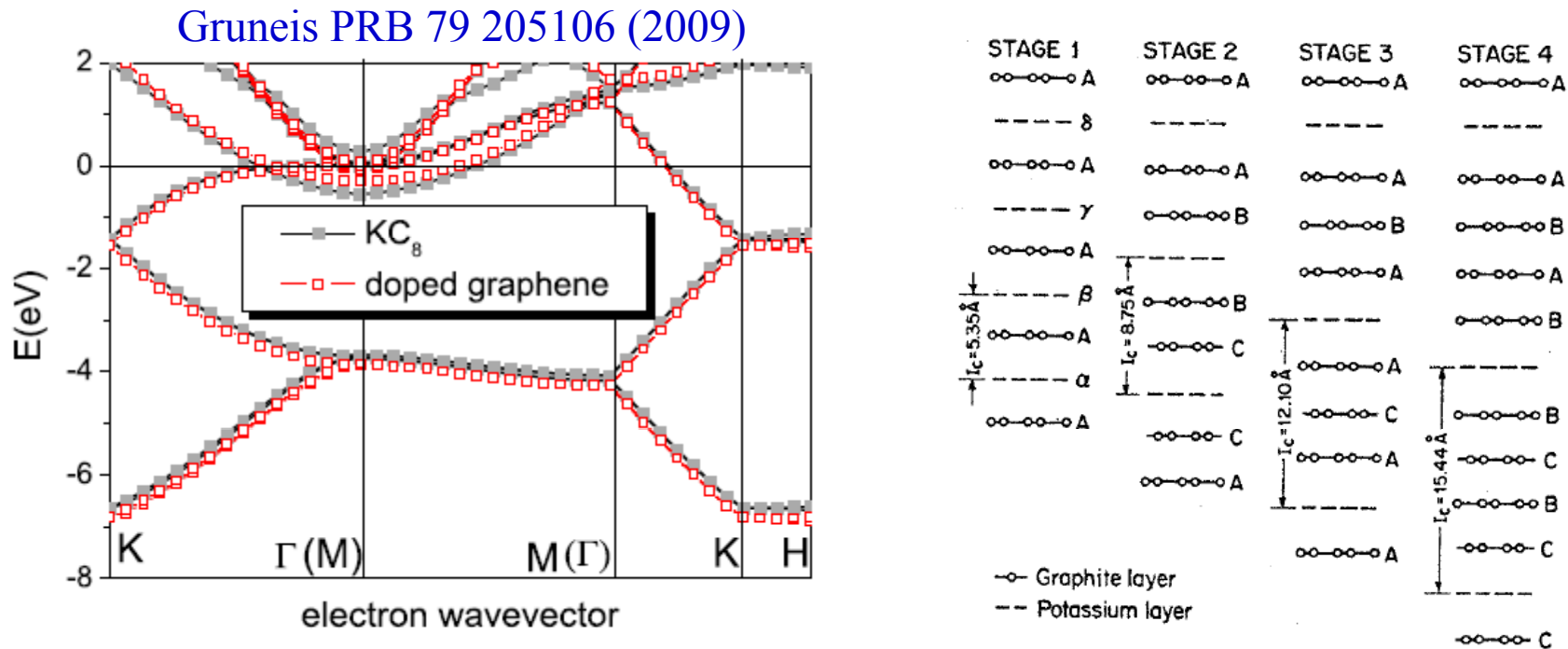
- Stage # : The number of graphene layers per intercalate layer.
- Doping level varies layer to layer

Br₂ Vapor Exposed Graphene: both intercalation and adsorption



- G peak up-shift as charge density of graphene increases.
- Stage 2 Intercalation observed similar to Bulk HOPG.
- Bromine intercalates 3L and higher nL
- 1L G peak shifts the most due to two layers of adsorption, on the top and bottom of graphene.
- 2L, 4L, and Graphite show same charge transfer amount.

Very high electron doping: stage 1 alkali intercalation



Fermi level shifts for C_8Cs , C_8K and C_8Rb are **respectively 1.0, 1.4 and 1.8eV**.
Graphene Layers are decoupled AA stacking. No band gap at K point.

Fermi level at M point, which is folded back on Gamma point by crystalline alkali intercalation layers

Interband optical absorption completely gone

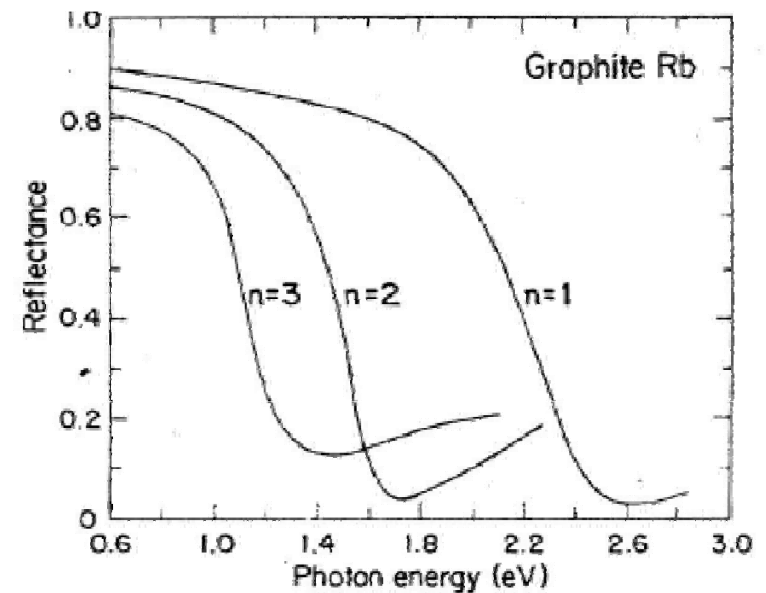
Intraband Drude free electron optical absorption strong

Extreme Electron Doping in bulk Alkali Metal GICs

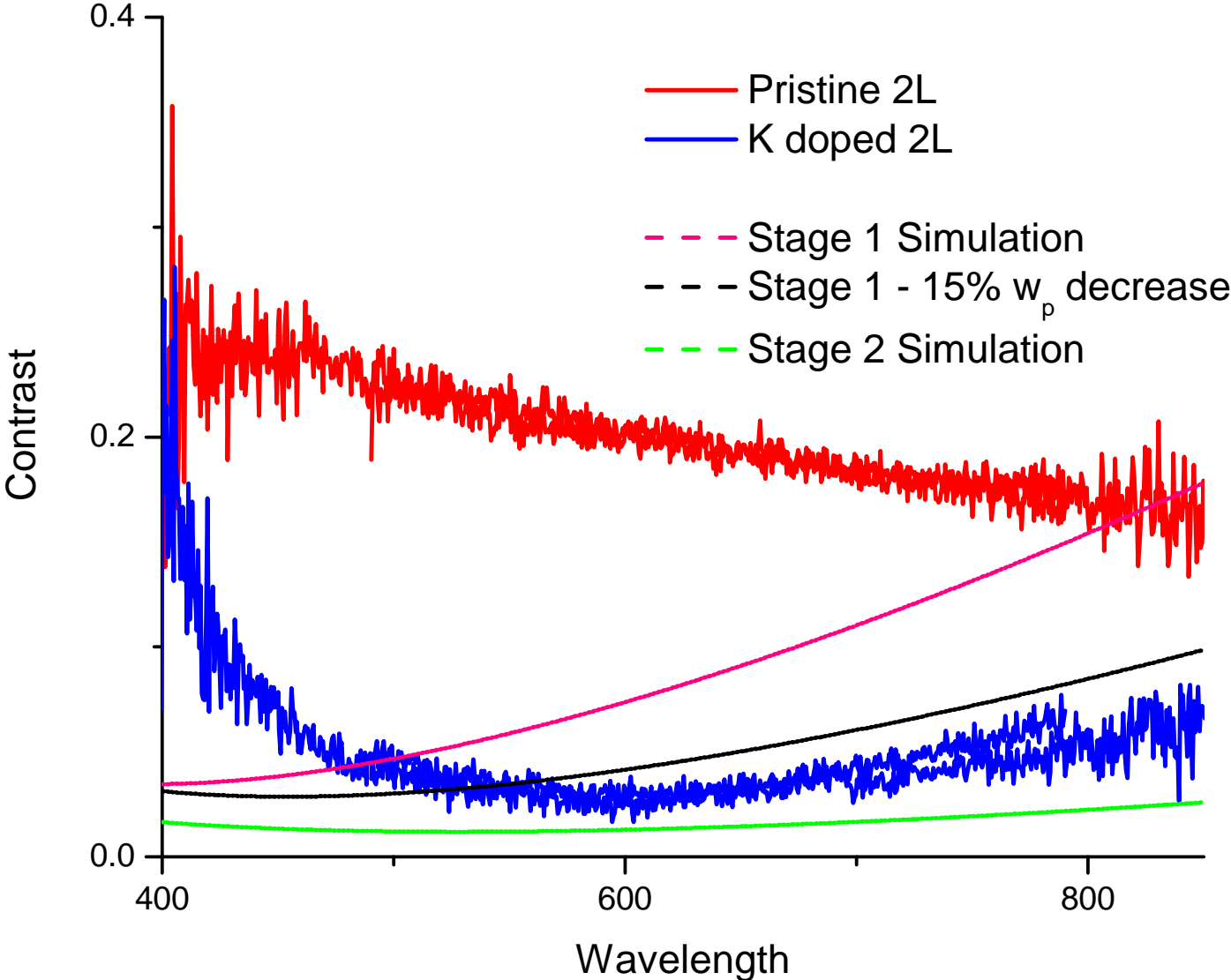
- Shifts in Fermi level in intercalation compounds can be quite large: Fermi level shifts for Stage 1 C₈Cs, C₈K and C₈Rb are respectively 1.0, 1.4 and 1.8eV. Layers are also decoupled. Expect complete electronic bleaching in the visible spectrum.
- Free electrons on metal layers and graphene create a 2D Drude electron gas with a plasma edge in the visible spectrum

$$\epsilon(\omega) = \epsilon_{\infty} - \frac{\omega_p^2}{\omega(\omega + i/\tau_D)}$$

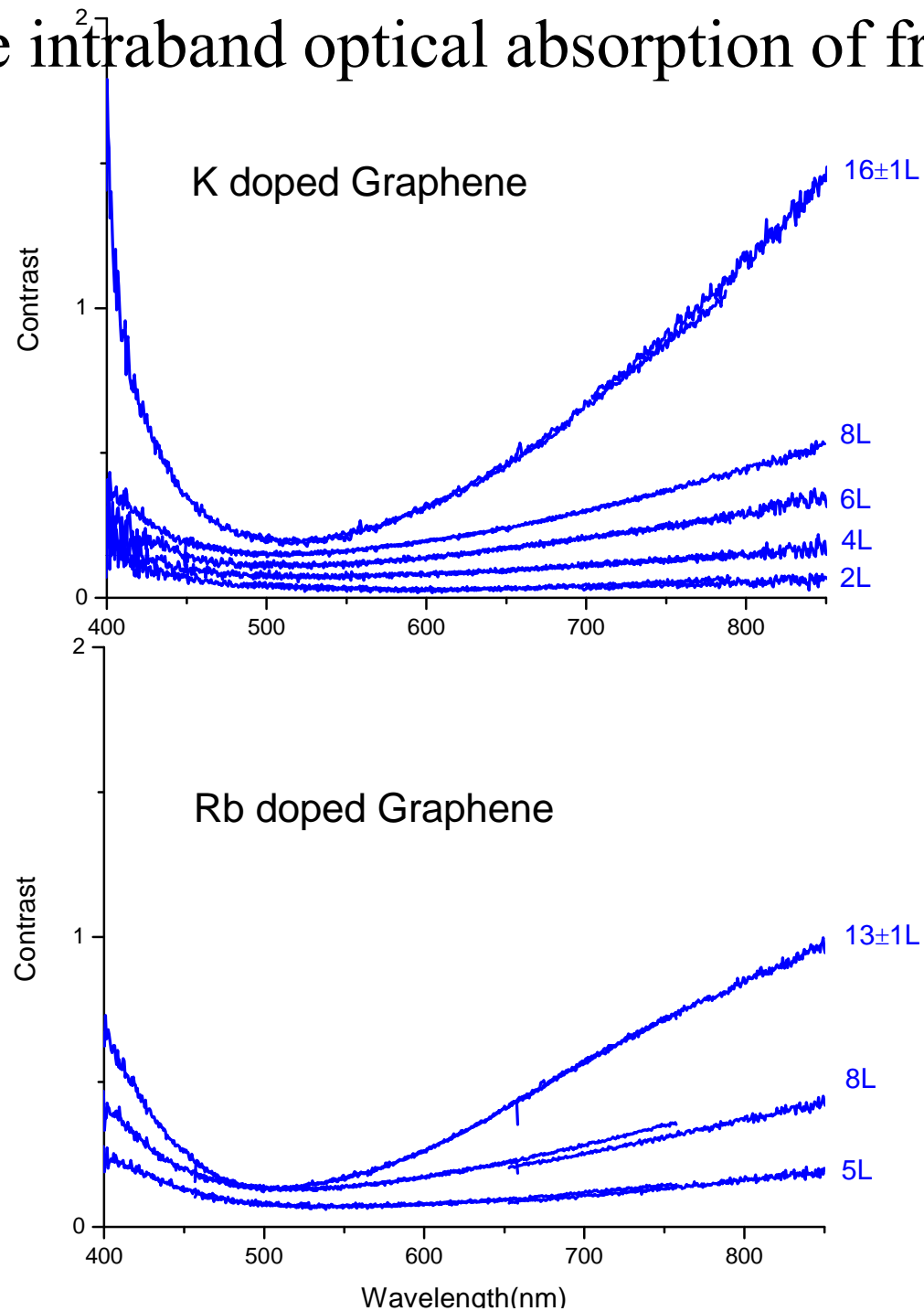
GIC dielectric constant in the visible and IR is well fit by a Drude free carrier model with , effective plasma frequency and mean carrier lifetime.



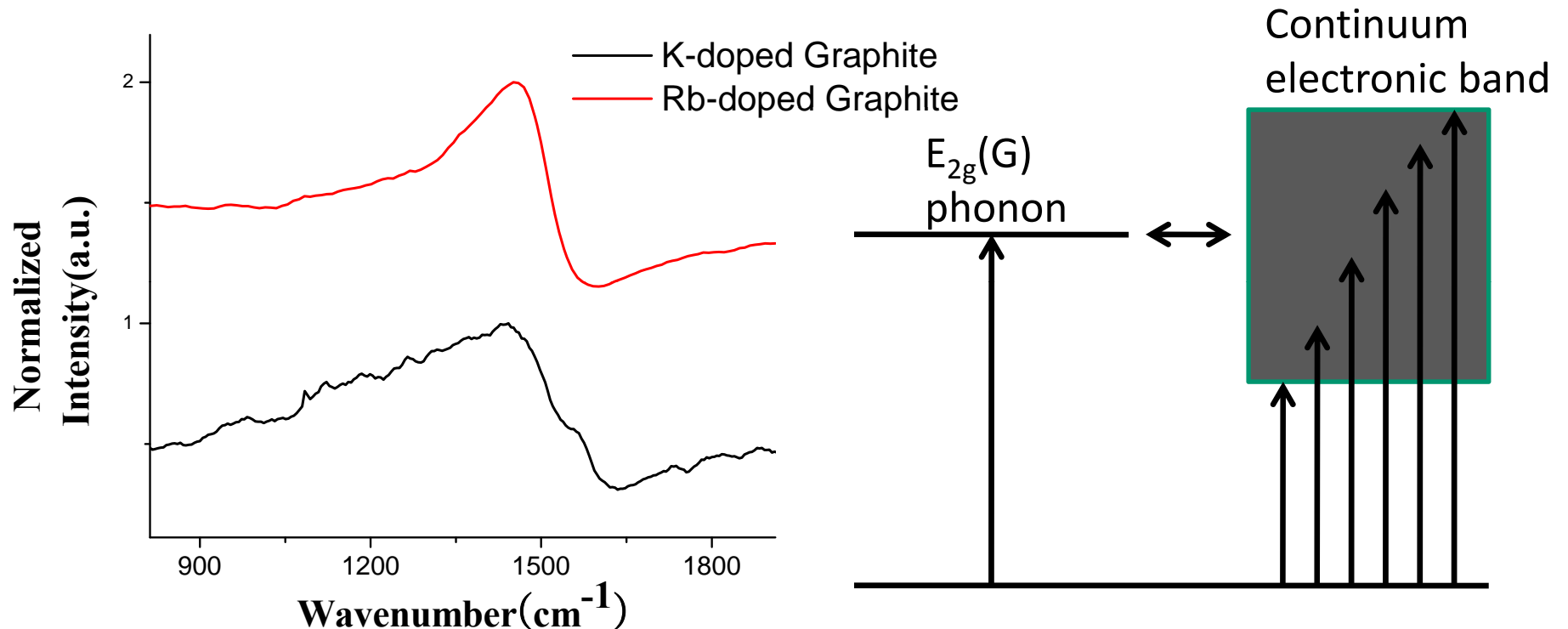
Extreme Bleaching of 2L graphene visible interband optical absorption, at very high electron charge transfer



Graphene: Drude intraband optical absorption of free electrons



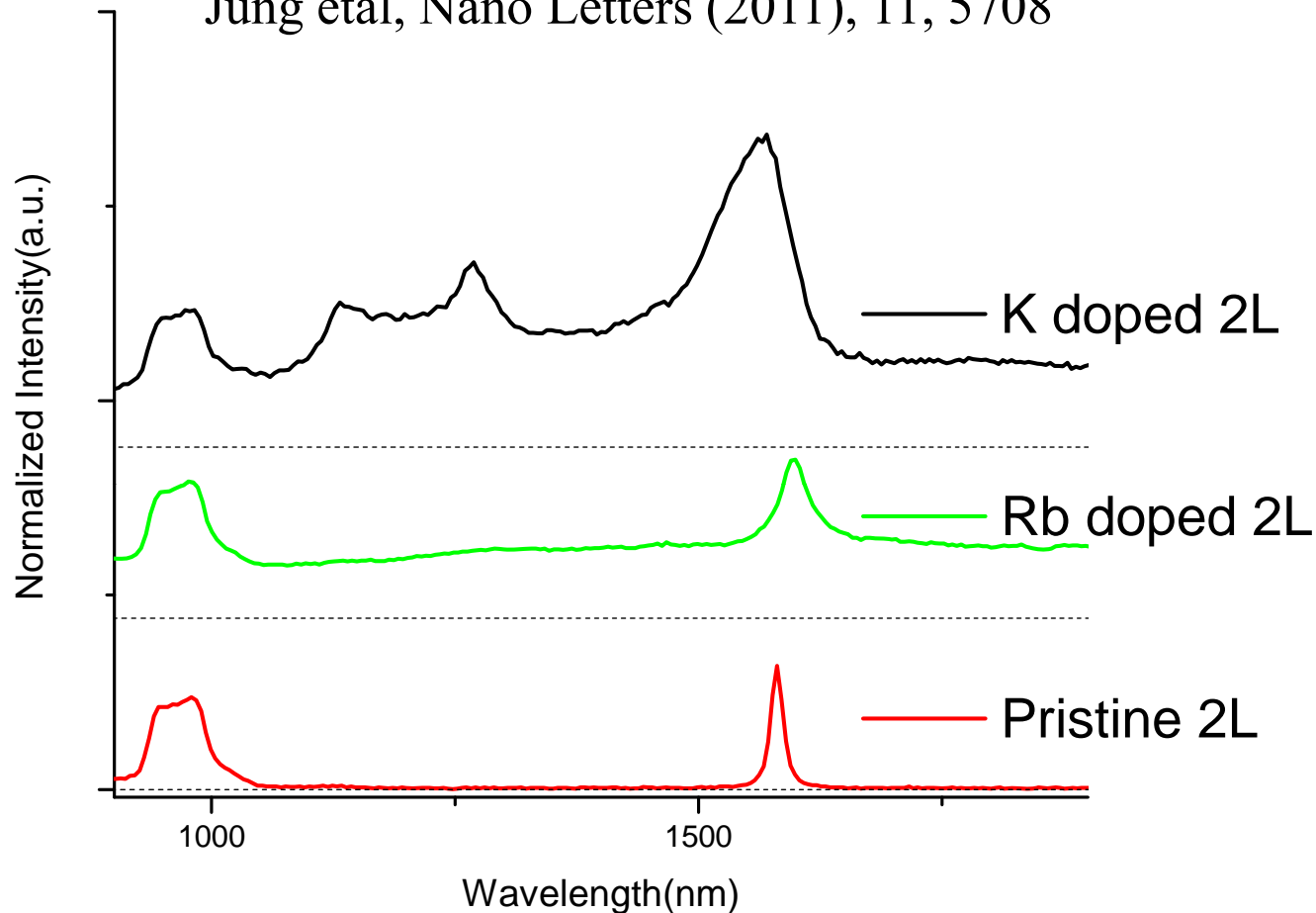
Bulk alkali intercalated graphite: G band Raman Downshift and Fano Lineshape



- The BWF (Breit-Wigner-Fano) Raman shape of G mode in bulk graphite is due to coupling of discrete G phonon to the continuous interlayer electronic band along the k_z axis.

New Raman Spectra for alkali doped Few layer Graphenes

Jung et al, Nano Letters (2011), 11, 5708

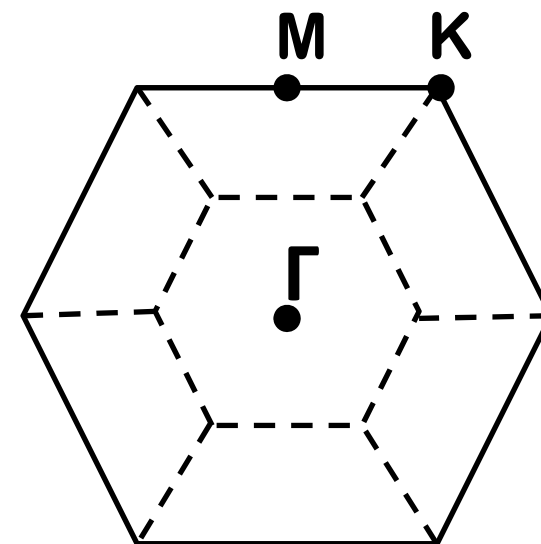
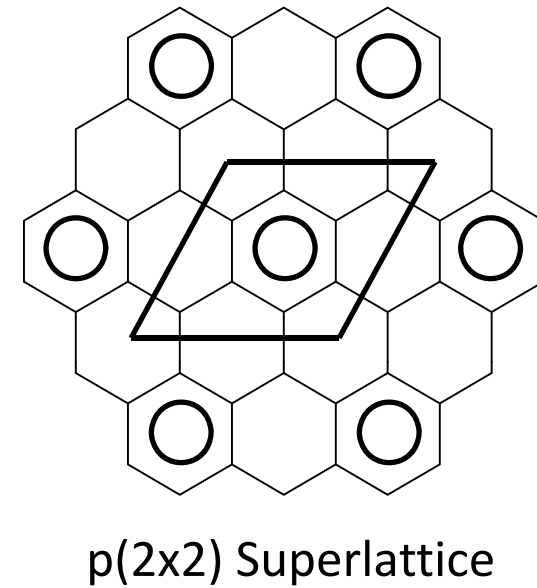
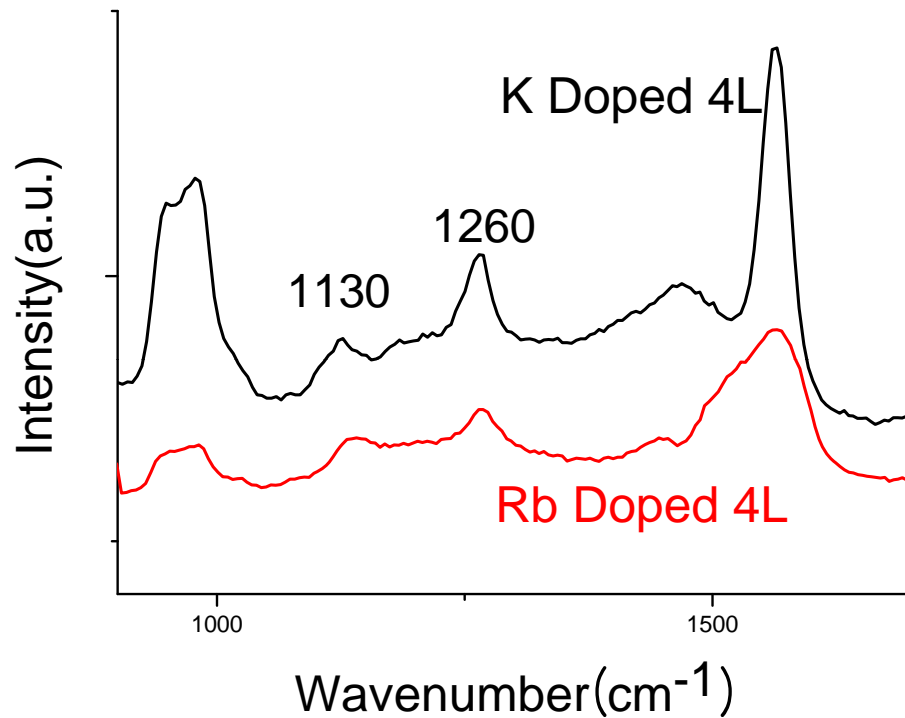


Bulk Fano Raman Lineshape Develops only slowly with increasing thickness

New resonance Raman effect, not from Basko Analyzed interband optical transition

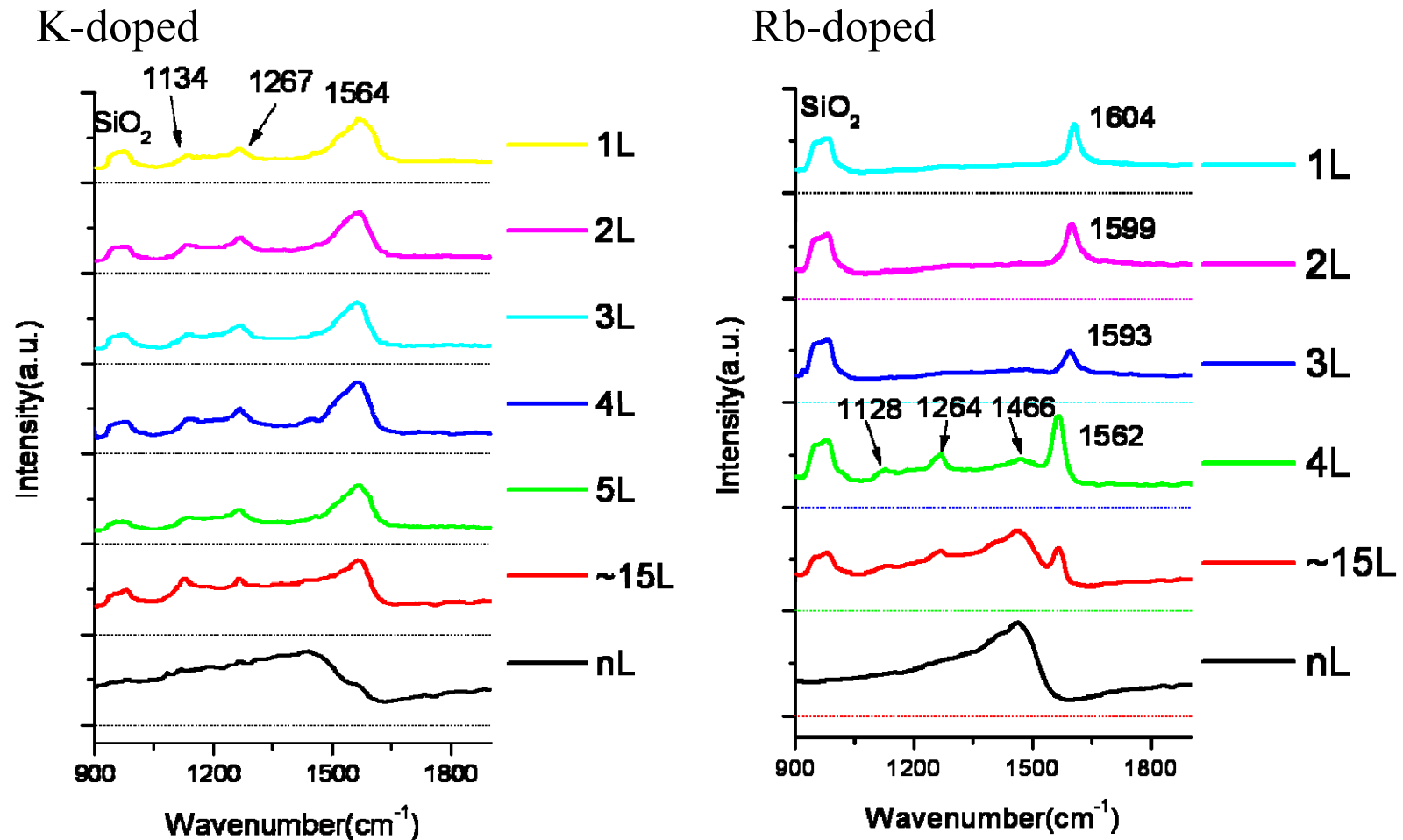
Less electron transfer for few layer graphenes

Intrinsic silent graphene modes activated in Raman by p(2x2) alkali metal zone folding



- Potassium and Rubidium intercalated graphene develops the identical Raman peaks at 1130 and 1260 which is due to folded M point Raman.

K and Rb intercalated Few layer Graphene



- While adsorbed potassium fully doped graphene as intercalated layer, adsorbed rubidium does not dope graphene much as potassium does.

Conclusions:

Both CdSe Nanocrystals and SWNT show simple quantum confinement. Electron Correlation is high in graphene and SWNT, but low in CdSe nanocrystals.

High graphene charge doping from molecular absorption, without application of voltage

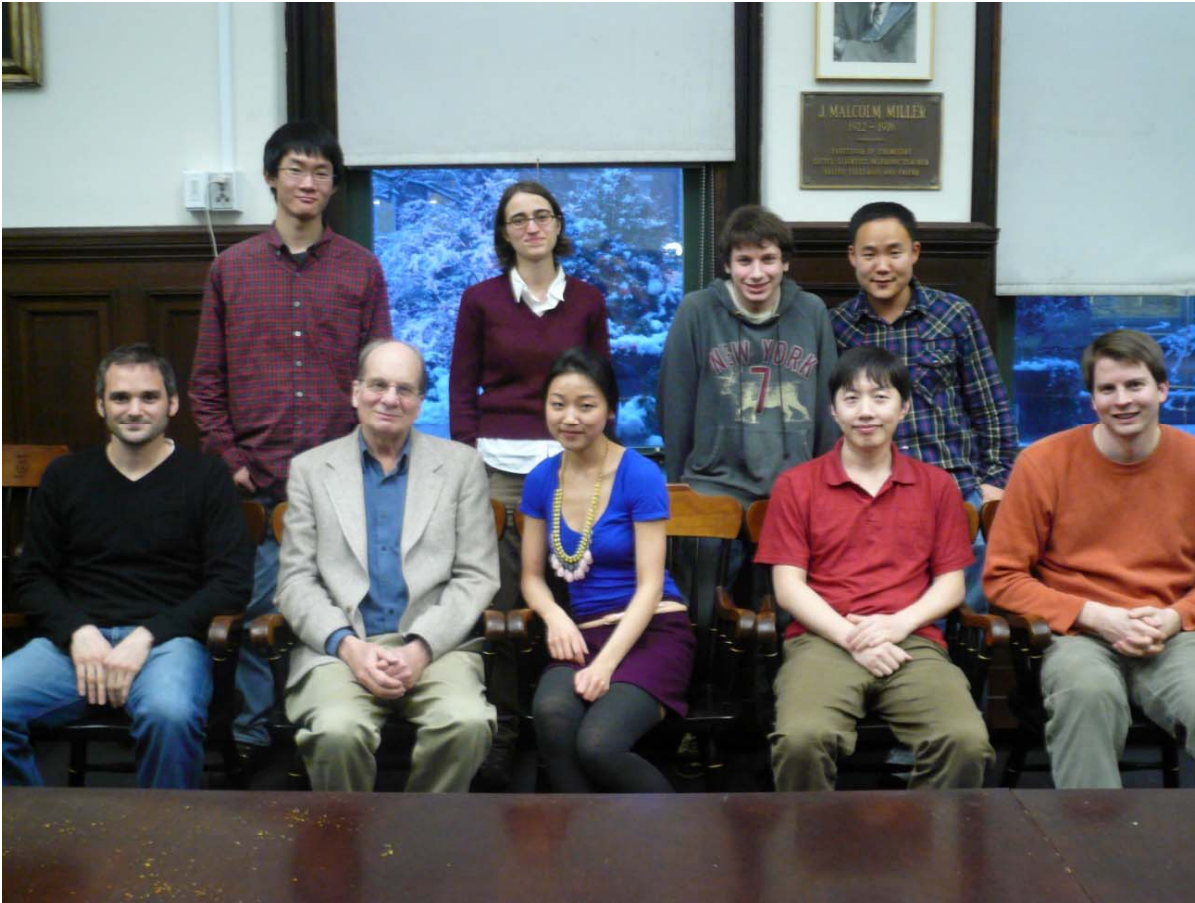
Band bending from surface doping extends one or two graphene layers.

One sided chemical doping can be achieved on BN substrate

With K and Rb stage 1 intercalation, complete bleaching of interband optical absorption occurs in few layer graphenes. Drude optical plasma edge of doped electrons observed in visible.

High charge transfer of stage 1 K intercalated graphite develops only slowly as a function of the number of graphene layers.

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Liu, Zheyuan Chen, Yinsheng
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